DOD ACQUISITION WORKFORCE DEMONSTRATION PROJECT
OPERATING PROCEDURES

Marine Corps Systems Command Operating Procedures

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Civilian Acquisition Workforce Personnel Demonstration Project
Department of Defense (DoD)

EXECUTIVE SUMMARY

Title VI of the Civil Service Reform Act, 5 U.S.C. 4703, authorizes the Office of Personnel Management (OPM) to conduct demonstration projects that experiment with new and different personnel management concepts to determine whether such changes in personnel policy or procedures would result in improved Federal personnel management.

Section 4308 of the National Defense Authorization Act for Fiscal Year 1996 (Pub.L. 104-106; 10 U.S.C.A. § 1701 note), as amended by section 845 of the National Defense Authorization Act for Fiscal Year 1998 (Pub.L. 105-85), permits the Department of Defense (DoD), with the approval of OPM, to conduct a personnel demonstration project within the Department's civilian acquisition workforce and those supporting personnel assigned to work directly with the acquisition workforce. This demonstration covers the civilian acquisition workforce and teams of personnel, more than half of which consist of members of the acquisition workforce and the remainder of which consist of supporting personnel assigned to work directly with the acquisition workforce, throughout DoD. The total number of participants is limited to 95,000.

The purpose of the DoD Civilian Acquisition Workforce Personnel Demonstration Project is to demonstrate that the effectiveness of DoD acquisition can be enhanced by allowing greater managerial control over personnel processes and functions and, at the same time, expand the opportunities available to employees through a more responsive and flexible personnel system. To this end, the proposed project involves: (1) simplified job classification; (2) broadbanding; (3) streamlined hiring processes; (4) modified application of the DoD Priority Placement Program (PPP);   (5) a contribution-based compensation and appraisal system; (6) expanded training opportunities; (7) sabbaticals; (8) a voluntary emeritus program; and (9) revised reduction-in-force procedures. The demonstration is the first personnel demonstration that crosses DoD component lines, and the first demonstration to be designed along functional lines instead of organizational lines.

This demonstration project does not waive civil service laws in the areas of employee leave, employee benefits, equal employment opportunity, political activity, merit system principles, or prohibited personnel practices.

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Chapter 1 - INTRODUCTION

1.1 Background.   Over the last several years, the way Government does business has fundamentally changed. In particular, the Department of Defense (DoD) has redesigned itself and some of the functions it performs. It has developed from a cold war/large war strategy to a peace keeping/small war strategy. DoD's budget has been drastically cut, as well as associated personnel. The acquisition community has taken on the challenge to reform and modernize itself in order to perform efficiently in the present environment.

The acquisition community has attempted to adopt many new practices from private industry, as well as streamline existing practices. In general, the community has tried to break old paradigms and build new processes that will be more efficient and effective. The concept of "value added" has become integral to all endeavors. To implement this concept and these new processes fully, DOD must reinvent not only the tools of acquisition, but also the personnel management system that governs the acquisition workforce.

MARCORSYSCOM 1.1 Background. This document is to provide the overall guidance in the implementation, operation, and maintenance of the demonstration project. For more detailed guidance refer to the locally developed activity orders.

1.2 Personnel Issues Affecting the Workforce. The Defense Acquisition Workforce Improvement Act (DAWIA) recognized the unique characteristics of the workforce and issued broad guidelines for advanced degrees, specialized training, rotation of personnel and experience.   Criteria were established for levels of certification and expertise. But no new personnel management system was enacted at the time of DAWIA's passage to facilitate acquisition employees' careers or reward them for their contributions. The DOD Civilian Acquisition Workforce Personnel Demonstration Project does not change the provisions of DAWIA. The Components and Activities will modify their policy and procedures to the degree necessary to permit organizations participating in this project to implement its initiatives.

The purpose of this project is to demonstrate that effectiveness of DoD acquisition can be enhanced by allowing greater managerial control over personnel processes and functions and, at the same time, expand the opportunities available to employees through a more responsive and flexible personnel system. The following initiatives require waivers of civil service law and/or Government-wide regulations, and accordingly are contained in the demonstration project plan published in the *Federal Register* on January 8, 1999: (1) simplified job classification; (2) broadbanding; (3) streamlined hiring process; (4) a contribution-based compensation and appraisal system; (5) expanded training opportunities; (6) sabbaticals; (7) a voluntary emeritus program; and (8) revised reduction-in-force procedures.

MARCORSYSCOM 1.2 Personnel Issues Affecting the Workforce. The Marine Corps acquisition policies and procedures modified to support the initiatives of this demonstration project are contained in Chapter 16 of this MARCORSYSCOM Operating Procedures.

1.3 Project Design.   In September 1996 a Process Action Team (PAT) was formed by the Secretary of Defense in response to Section 4308 of the National Defense Authorization Act for Fiscal Year 1996. The PAT was chartered to take full opportunity of this legislation and to develop solutions for many DoD acquisition workforce personnel issues. The team included managers from each of the Military Services and DoD Components, as well as subject-matter experts from civilian personnel and manpower. This team developed initiatives that, together, represent sweeping changes to the entire spectrum of human resource management for the DoD acquisition workforce. Several initiatives were designed to assist DoD acquisition activities in hiring and placing the best people to fulfill mission requirements. Others focused on developing, motivating, and equitably compensating employees based on their contribution to the mission. Initiatives to manage workforce realignment effectively and maintain organizational excellence were also developed. These initiatives were endorsed and accepted in total by the acquisition leadership.

1.4 Purpose. These Operating Procedures are designed to outline the demonstration project processes including detailed information on specific procedures. The Operating Procedures detail the changes to the existing human resource management system and how to implement those changes as part of a unified demonstration. The appendices contain details of the new procedures, required data, new forms and implementing software.

This demonstration project does not waive civil service laws in the areas of employee leave, employee benefits, equal employment opportunity, political activity, merit system principles, or prohibited personnel practices.

1.4.1 *Federal Register* **Announcement.** The first *Federal Register* notice, published March 24, 1998, indicated the intent to conduct a personnel demonstration for acquisition workforce personnel and describes the title 5 initiatives. The second *Federal Register* notice, dated January 8, 1999, describes personnel initiatives to be implemented under this demonstration project.

MARCORSYSCOM 1.4.1 Federal Register Notice Announcement. The Federal Register Notice can be viewed at the following web address: http://www.crfpst.wpafb.af.mil/demo

1.4.2 Application of DoD Human Resources Policies to Participating Employees. Two initiatives under this demonstration project do not require waivers of civil service law (title 5, United States Code) or Government-wide regulations, but do entail modified application of DoD human resources policies to employees participating in the demonstration project. Accordingly, these initiatives are not included in the first or second *Federal Register* notices, but are contained instead entirely within these Operating Procedures. These initiatives are found at paragraph 4.7, Priority Placement Program, and chapter 8, Realignment Initiative. In addition, paragraph 3.3.8, Civilian High-Grade Management Program, explains how DoD-wide high-grade controls were retained but made somewhat more flexible.

1.5 Participating Organizations. A list of organizations participating in the demonstration project is contained in the second *Federal Register* notice.

1.5.1 Labor-Management Responsibilities

1.5.1.1 Bargaining Requirements. Activities wishing to participate in the DoD Acquisition Workforce Demonstration Project must reach agreement with any union representing the workforce prior to implementation. Employees in a bargaining unit cannot be placed into a demonstration project without such an agreement.

1.5.1.2 Procedures. Implementation bargaining at the local level can begin at any time both parties agree. It should be understood by both parties that final agreement can be reached only after changes in the first *Federal Register* have been completed and the second notice is published. The second notice contains the final waivers to civil service laws (title 5, United States Code) necessary to accomplish the initiatives in this project.

1.5.1.3 Bargaining Concerns. In order to ensure that the integrity of the acquisition demonstration project is maintained, parties may not change the design and intent of each of the project initiatives. DoD has authority to operate ONE project and the initiatives apply to all Components/commands. Local labor-management parties can, however, freely develop their individual means for operating the project, including the involvement of established partnership principals. The level of creativity in bargaining the many processes available to both parties is unrestricted.

1.5.1.4 Agreement Format. The written agreement may be in any form mutually agreed upon by both parties; however it must state that both parties agree to participate in the demonstration project as it appears in the final (second publication) *Federal Registe*r notice.

1.5.1.5 Reporting Requirements. Each facility reaching agreement to participate in the Acquisition Demonstration Project will forward a copy of the agreement reached during labor-management negotiations to the DoD Acquisition Demonstration Project Office located at 5203 Leesburg Pike, Suite 1404, Falls Church, VA 22041. (Simultaneously, the facility should also send a copy to the Component representative for this demonstration project.) The Project Office will review the agreement for compliance with the project plan as published in the January 8, 1999, *Federal Register* final notice. The Project Office will approve or disapprove the agreement, or portions thereof, as appropriate. This shall normally be accomplished within 30 days beginning on the first workday after receipt of the written agreement. Questions regarding labor management issues involving this project can also be directed to the above office.

MARCORSYSCOM 1.5.2 Withdrawing from Participation. When circumstances arise that would require this organization to withdraw from the demonstration project, the Commander must submit his/her request with supporting rationale for review through the chain of command to OPM:

> U.S. Office of Personnel Management
> 1900 E. Street NSW
> Room 7460
> Washington, DC 20415

The request will be sent via the Director, Acquisition Career Management:

DACM
2211 South Clark Place
Arlington, VA 22244

The Navy Director, Acquisition Career Management (DACM) will then forward the request to the Office of Personnel Management (OPM). OPM will make the determination as to the appropriateness for the organization to discontinue participation in the demonstration project.

Chapter 2 – DEMONSTRATION PROJECT INITIAL TRANSITION

2.1 Introduction. Initial entry into the demonstration project for covered employees will be accomplished through a full employee-protection approach that ensures the initial placement of each employee into a broadband level without loss of pay. After this transition, any changes in the rate of basic pay will be based upon an employee's overall contribution score, other contribution-base actions, promotion, or other personnel actions.

Participating organizations will be phased into the project in accordance with the timetable approved by DoD and OPM. Accordingly, employees who are permanently, officially assigned to a participating organization on or before the phase-in date specified in the timetable for that organization will receive a buy-in as described in this chapter. Employees who enter the demonstration project later by lateral reassignment or transfer will enter at their current basic pay with no loss or gain due to transfer, and will not receive the buy-in applied during the initial transition of their organization into the demonstration project.

2.2 Procedures for Transition. As a rule, General Schedule employees will be placed into the career path and broadband level that corresponds to the employee's occupational series, grade, and salary at the time of transition. Employees currently on grade and/or pay retention will be placed in the appropriate broadband level that is commensurate with their existing grade. See Chapter 5 for pay setting.

Employees serving on temporary promotions or on details must be returned to their position of record and then transitioned into the demonstration project from their permanent position. Written notification must be given to employees who are on leave without pay (LWOP), military furlough, long term training, or workers compensation, or those employees serving in overseas positions.   This letter will inform them of their transition into the demonstration project and the career path and broadband level to which they are reassigned.

In accomplishing this initial transition, internal and external priorities, including the DoD Stopper List, do not need to be cleared. Management in organizations covered by the demonstration project will: (1) cancel the existing positions; (2) establish the new demonstration project positions (Position Requirements Document (PRD)) in prescribed format using tailored COREDOC software or component specified template or format (see Appendix H); and (3) move employees to the newly established positions in the demonstration project. Any existing classification problems with the current position must be corrected prior to the transition action at implementation.

An official personnel action with the appropriate nature of action codes (NOACs) will be used to document the transition of each employee into this demonstration project. See Appendix G.

2.2.1 Permanent Appointments. All employees serving on permanent appointments (either career or career-conditional) will be reassigned into the demonstration project at the time of implementation by means of an official personnel action. This personnel action will be a dual nature of action; NOAC 894 (Pay Adjustment) and NOAC 721 (Reassignment).

2.2.2 Time Limited Appointments. Under the current, Government-wide Federal personnel system, time limited appointments include temporary NTE and term appointments.

2.2.2.1 Temporary Appointment Not-to-Exceed (NTE). Employees on temporary appointments will be converted into the demonstration project via an official personnel action using Nature of Action 515 (Conversion to Appointment Not-to-Exceed). The original NTE date must remain the same.

2.2.2.2 Term Appointment. Employees on a term appointment NTE four years will not have their NTE date altered. Employees serving on a term appointment NTE four years will be converted into the demonstration project by NOAC 508 (Conversion to Modified Term NTE), and NOAC 894 (Pay Adjustment).

2.2.3 Excepted Service. Employees on excepted service appointments will be transitioned into the demonstration project by NOAC 721 (Reassignment) and NOAC 894 (Pay Adjustment) with the demonstration project authority code and the same authority code and authority as was used in the original appointment.

2.3 Employee Buy-in. Automatic within grade increases (WGI) inherent in the General Schedule system are discontinued under this demonstration project. In order to compensate employees equitably at the time of transition, adjustments to the employee's base salary for step increase and non-competitive career ladder promotions will be made. Specifically, these adjustments to an employee's base salary for step increase and non-competitive career ladder promotion will be computed at the demonstration implementation date based on a prorated share computed upon the number of weeks an employee has completed towards the next higher step or grade. A week is considered to be in effect at 0001 hours on each Sunday.

As under the current system, supervisors will be able to withhold these partial increases (steps) for employees who are on a performance improvement plan (PIP). Employees who are on a PIP at the time of conversion will be not be converted into the demonstration project until successful completion of that PIP. (Employees who successfully complete the PIP will be bought in as of the effective date of the successful completion of the PIP, and their base salary will be calculated as of the original implementation date.)

A career ladder promotion buy-in may cause an employee's rate of basic pay under the demonstration to exceed the top of the broadband corresponding to the employee's pre-demonstration permanent grade. If the employee's rate of basic pay exceeds the maximum rate of basic pay for the broadband level corresponding to the employee's GS grade, the employee will remain at that broadband level and will receive a retained rate. An automated tool will be provided to facilitate the calculation of the new salary and the generation of the personnel action to move employees into the demonstration project. An official personnel action documenting the employee's reassignment will contain the remark "Pay adjustment upon reassignment to the Acquisition Workforce Demonstration Project". This conversion process, i.e., "buy-in", is applicable to employees only at the initial entry of their organization into the demonstration project in accordance with their approved implementation plan.

Special salary rates are not applicable to demonstration project employees. Employees on special salary rates at the time of transition into the demonstration will receive a new basic pay rate computed by dividing their highest adjusted basic pay (i.e., special pay rate, or if higher, the locality rate) by the locality pay factor for their area. All employees will be eligible for the future locality pay increases of their geographic area.

As an example, consider an employee with a $50,000 special rate in Washington, DD, and a corresponding locality rate of $48,431 ($45,149 + 7.27% in DC), assume there is a WGI buy-in of $800.

Perform pay conversion computation first. $50,000 divided by 1.0727 equals $46,611 (the demonstration base rate). Demonstration locality adjusted rate equals $50,000 ($46,6111 x 1.0727). Add $800 WGI buy-in to demonstration base rate. $46,611 + $800 = $47,411. Demonstration locality adjusted rate equals $50,858 ($47,411 x 1.0727).

When initial transition into the demonstration project is accompanied by a simultaneous geographic move, the employee's GS pay entitlements (including any locality or special rate) in the new area will be determined before converting the employee's pay to the demonstration project pay system. A full locality adjustment will then be added to the new basic pay rate.

In the case of a step increase buy-in, the amount is computed by summing the product of the step increase for the employee's current grade and ratio of employee's time in step to nominal time between steps to the current salary for the individual employee's grade and step.

New salary = (time in step/time between steps) * step increase + current salary

For example, a contracting officer entering the demonstration is a GS-12/step 4. The nominal time between steps 4 and 5 is 104 weeks. Assuming that at implementation the employee has earned 90/104ths of a WGI, this employee's new salary will include the GS-12/step 4 base rate of $49,760 plus 90/104 of the $1,508 WGI, for a new base salary of $51,435, and the employee would be placed in broadband level III. (This example uses calendar year 1999 General Schedule pay rates.)

Similar computation applies for career ladder progression buy-in. If both the step increase and the career ladder buy-in apply, calculate the step increase buy-in first, and then calculate the career ladder buy-in. For employees whose special rate exceeds their locality rate, the pay conversion will be processed first to derive a new rate of basic pay under the demonstration. Then, the WGI/career ladder promotion buy-in adjustment will be added to that new rate. (This processing sequence is significant because it yields a higher rate of basic pay under the demonstration than the reverse sequence would.

An employee on retained pay whose salary exceeds the maximum pay of the broadband level (as determined by the employee's grade) is not eligible for a buy-in adjustment. Such an employee's rate of pay remains the same under the demonstration project as it was previously.

MARCORSYSCOM 2.3 Employee Buy-in. As under the current system, supervisors will be able to withhold these partial increases (step) if the employee's performance has fallen below fully successful. See Federal Register Notice, VIIIA. Employees who are on a formal Performance-Improvement-Plan (PIP) at the time of conversion will not be bought (converted) into the demonstration until successful completion of that PIP.

For employees on retained pay at the time of conversion, they will not be eligible for the equity buy-in adjustment stated above. See Federal Register Notice, page 14324, VIIIA.

For employees on retained grade whose salary exceeds the maximum pay of the employee's broadband level as determined by their grade, that employee remains in that level at the rate of pay plus buy-in adjustments, if appropriate. If the employee is at Step 10 of his/her grade, that employee is not eligible for the equity buy-in adjustment stated above. See Federal Register Notice, Page 14324, VIIIA.

Employees covered under the Performance Management and Recognition System (pay plan code GM) are General Schedule employees and are covered under the demonstration project. Initial transition into the demonstration project will include a buy-in using the same formula as the General Schedule employees.

MARCORSYSCOM 2.4 MARCORSYSCOM Exclusion. An employee in a career-ladder position will remain in the GS schedule until they have reached their target position, at that time the employee will transition into the appropriate career path and broadband level. An official personnel action (SF50) will be used to document the promotion and subsequent transition of each employee into this demonstration project.

MARCORSYSCOM 2.5 Appraisal System Closeout. Employees converting to this Acquisition Workforce Personnel Demonstration project will receive a closeout appraisal.

Chapter 3 - CLASSIFICATION SYSTEM

3.1 Introduction. The demonstration provides managers, at the lowest practical level, the authority, control, and flexibility they need in personnel processes and functions to achieve quality acquisition processes and products. This project provides a system that retains, recognizes, and rewards employees for their contribution and supports their personal and professional growth.

3.2 Career Paths and Broadband Levels. A broadband classification and pay system replaces the current General Schedule (GS) structure. The 15 grades of the General Schedule were used to classify positions and, therefore, to set pay. Under the demonstration, GS grading criteria will no longer be used to classify positions. The salary range for a given broadband level of a career path corresponds to the General Schedule rates of basic pay that a particular broadband level encompasses. Special salary rates do not apply in the demonstration project.

Occupations with similar characteristics are grouped together into three career paths. Appendix A identifies the occupational series within each of the three career paths. Each career path consists of a number of broadband levels representing the phases of career progression that are typical for the respective career path. The broadband levels within each career path are shown in Figure 1, along with their GS equivalents. Appendix B provides definitions for each of the career paths and the corresponding broadband levels within them. Broadband levels are designed to facilitate pay progression and allow competitive recruitment of quality candidates at differing rates. Movement within the broadband levels is based upon contribution, in conjunction with the Contribution-Based Compensation Appraisal System (CCAS) as described in Chapter 6. Movement to a higher broadband level is normally a competitive action. For non-competitive actions see paragraph 5.5.3.

As indicated in Figure 1, there are four broadband levels in the demonstration project, (labeled I, II, III, and IV) for two career paths: Business Management and Technical Management Professional , which encompasses GS-1 through –15; and Technical Management Support, which includes GS-1 through –13.   There are three broadband levels for the Administrative Support career path which includes GS-1 through GS-10. Comparison to the GS grades' rates of basic pay is used in setting the upper and lower dollar limits of the broadband levels. Once the employees are moved into the demonstration project, GS grades no longer apply. The pay plan for career path Business Management and Technical Management Professional is NH; for Technical Management Support, the pay plan is NJ; and for Administrative Support the pay plan is NK.

The GS grades banded in a given broadband level define the minimum and maximum rates of basic pay for that broadband level. No employee in a level will be paid less than the rate of basic pay of the step 1 of the lowest grade in their level nor more than that of step 10 of the highest grade in their level, unless that employee is on retained pay or otherwise excepted. Since these minimums and maximums are based upon the GS pay scale, they change annually commensurate with the General Schedule pay adjustment.

Business Management and Technical Management Professional (NH)

I	II	III	IV
(GS 1-4)	(GS 5-11)	(GS 12-13)	(GS 14-15)

Technical Management Support (NJ)

I	II	III	IV
(GS 1-4)	(GS 5-8)	(GS 9-11)	(GS 12-13)

Administrative Support (NK)

I	II	III
(GS 1-4)	(GS 5-7)	(GS 8-10)
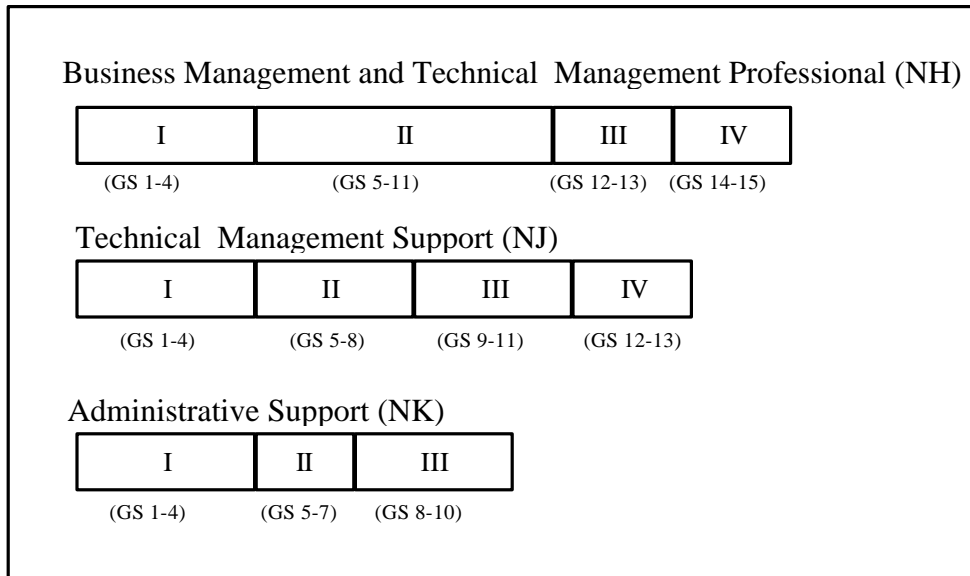
Figure 1. Career Paths and Broadband Levels

3.3   Classification Process

3.3.1   Classification Authority. Under the demonstration project, commanders or equivalent have delegated classification authority and may re-delegate this authority to subordinate management levels. Re-delegated classification approval must be exercised at least one management level above the first level supervisor of the position under review (except in the case of those employees reporting directly to the commander or equivalent).

3.3.2 First Level Supervisor. First level supervisors are responsible for determining position requirements, preparing the Position Requirements Document (PRD) (see paragraph 3.3.5) and providing classification recommendations to the classification authority. Supervisors must ensure that the principles of sound position management are followed.

3.3.3 Civilian Personnel Specialists. Personnel specialists provide on-going consultation and guidance to managers and supervisors throughout the classification process.

MARCORSYSCOM 3.3.3 Command Support Guidance. Command Support Directorate will provide on-going consultation and guidance to managers and supervisors throughout the classification process. At MCTSSA, the Business Operations Manager will provide on-going consultation and guidance to managers and supervisors throughout the classification process.

3.3.4 Classification Criteria. OPM classification standards are used for identification of proper series and occupational titles. The CCAS broadband level descriptors, as aligned into the three career paths, are used to determine broadband levels. These descriptors are based on the OPM Primary Classification Standard and eliminate the need for the use of any other grading criteria. The career path, broadband level factors, and descriptors constitute the only grading criteria for positions within the demonstration project. Responsibilities inherent in supervisory positions may be considered as part of the factor for Leadership/Supervision, (e.g., responsibility for

adherence to the principles of equal employment opportunity, merit principles, and the provisions of applicable collective bargaining agreements. The broadband level factors and descriptors are located at Appendix C.

3.3.5 Position Requirements Document (PRD). Under the demonstration project, a position requirements document (PRD) must be developed and approved whenever there is any change in occupational series, title, career path; broadband level; or knowledge, skills , and abilities (KSAs). Civilian personnel specialists should be contacted to determine if the change requires documentation through an official personnel action. Under the demonstration project's classification system, a new position requirements document replaces the current agency-developed position description form. The PRD combines the position information, staffing requirements, and contribution expectations into a single document. The new PRD includes a description of job-specific information, the CCAS broadband level descriptors for the assigned career path broadband level, and provides other information pertinent to the job. Supervisors may use a computer-assisted process to produce the PRD as described in Appendix H. The objectives in developing the new PRD are to: (a) simplify the descriptions and the preparation process through automation, (b) provide more flexibility in work assignments, and (c) provide a more useful tool for other functions of personnel management, e.g., recruitment, assessment of contribution, employee development, and reduction in force. Each PRD will have an identifying number, which is assigned to be consistent with each service's practices and procedures. For positions having identical requirements, a standardized PRD may be developed and assigned the same identifying number.

PRDs should include acquisition specific position data elements and Defense Civilian Personnel Data System (DCPDS) Data Identification Numbers (DINs) in order to facilitate the new position requirements documentation. These DINs are used by all of the components:

JYR	Acquisition Position Category
JYL	Acquisition Career Level Required
JYN	Acquisition Position Type
JYP	Acquisition Career Specialty – Primary orientation
JYQ	Acquisition Career Specialty – Secondary orientation
JYS	Acquisition Program Indicator
JYT	Acquisition Special Assignment

In accordance with 10 USC 1733 and 1737, PRDs for DAWIA coded positions must include specific acquisition statements, which are included as part of the modified COREDOC system.

The PRD will be certified for documented use in the contribution-based compensation and appraisal system by the commander (or the manager to whom the commander has delegated authority), and first level supervisor of the position. A copy will be provided to the employee. A copy will also be maintained with the supervisor's records of the employee. The original PRD will be maintained in accordance with locally established procedures. The PRD cover sheet will be used to accommodate appropriate signatures.

The PRD includes:

(1) Appropriate title, occupational series, career path (pay plan), and broadband level;

(2) Mission/purpose;

(3) The CCAS factors, discriminators and descriptors relevant to the classification of the position

(4) Skills required

(5) Selective requirements, i.e., security clearance, license, critical acquisition position, etc.; and

(6) Knowledge, skills and abilities (KSAs) for qualification purposes

MARCORSYSCOM 3.3.5 PRDs. Changes in designated acquisition positions require review by Director of Acquisition Career Management

3.3.6 Fair Labor Standards Act (FLSA). Fair Labor Standards Act exemption or non-exemption determinations are consistent with criteria found in 5 CFR (Code of Federal Regulations) Part 551. The generic position requirements documents will not be the sole basis for the FLSA determination. Each position is evaluated on a case-by-case basis by comparing the duties and responsibilities assigned, the career path broadband level descriptors for each broadband level, and the 5 CFR Part 551 FLSA criteria. The final review of the FLSA status will be made by the servicing civilian personnel office based upon the above-mentioned material and any supplemental information such as that contained in established performance objectives.

3.3.7 Classification Appeals. An employee may appeal the occupational series, title, or broadband level of his or her position at any time. An employee must formally raise the areas of concern to his/her immediate supervisor, either orally or in writing. If an employee is not satisfied with the supervisory response, he or she may then appeal to the DoD appellate level. Formal appeals must contain information as required by DoDM 1400.25M Subchapter 511. If an employee is not satisfied with the DoD response, he or she may then appeal to the Office of Personnel Management only after DoD has rendered a decision under the provisions of this demonstration project. Appellate decisions from OPM are final and binding on all administrative, certifying, payroll, disbursing, and accounting officials of the Government. Time periods for case processing under 5 CFR 511.605 apply.

An employee may not appeal the accuracy of the position requirements document, the demonstration project classification criteria, or the pay-setting criteria; the propriety of a salary schedule; or matters grievable under an administrative or negotiated grievance procedure or an alternative dispute resolution procedure.

The evaluations of classification appeals under this demonstration project are based upon the demonstration project classification criteria. Case files are forwarded for adjudication through the servicing personnel office and include copies of appropriate demonstration project criteria.

3.3.8 Civilian High-Grade Management Program. This program is outlined in ASD(FMP)'s memo, Sept 15, 1998, same subject. The memo explains that –

> The Office of Management and Budget (OMB) has advised [DoD] to continue to manage the number of high grades in DoD's full-time permanent professional, administrative, and technical workforce. Further, OMB has concurred that DoD's overall goal should be to accomplish high-grade reductions at a level generally commensurate with the Department's overall reduction.

Employees participating in the demonstration project remain covered by this program to the same extent as other employees within DoD. DoD has adopted a more flexible approach and no longer requires Components to meet specific, numerical high-grade goals at the end of each fiscal year.

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Chapter 4 - HIRING AND APPOINTMENT AUTHORITIES

4.1 External Hiring

4.1.1 Introduction. Managers must have a flexible hiring system to deal with population and economic changes. They must be given the ability and authority to reduce, restructure or renew the workforce quickly to meet diverse mission needs. These managers must have the ability to compete with private industry for the best available candidate and make expeditious job offers. Under this demonstration project, competitive examining authority for the hiring and appointment of candidates into permanent and non-permanent positions is delegated to the Components who may, in turn, re-delegate to lower levels.   This authority applies to all demonstration positions except Administrative Law Judges and any positions that require an examining process covered by court order.   In order to provide a more streamlined and responsive hiring system, the demonstration project provides for the grouping of eligible candidates into three quality groups using numerical scores; the elimination of consideration according to the rule of three and the addition of a Scholastic Achievement Appointment Authority.   Internal movement between broadband levels is addressed in the CCAS chapter (see Chapter 6) of this operating procedure.

4.1.2 Veterans' Preference. Preference eligibles who meet the above criteria will be considered before non-preference eligibles. Pass over/objection procedures apply. Preference eligibles meeting basic (minimum) qualifications will receive an additional five or ten points (depending on their preference eligibility) which is added to the minimum scores.

4.1.3 Rating of Candidates. Minimum qualifications for operating positions in the demonstration project will be based on criteria described in the OPM Operating Manual, "Qualifications Standards for General Schedule Positions," and DAWIA requirements, as appropriate. Minimum qualifications are determined based on the lowest equivalent GS grade of the appropriate broadband level.

4.2 Delegated Examining Authority

4.2.1 Introduction. Delegated Examining Authority will be used to fill demonstration project positions except Administrative Law Judges and any positions that require an examining process covered by court order. Civilian Personnel must clear all priority candidates as they apply to the demonstration project. These priorities include, but are not limited to, the DoD Priority Placement Program (PPP) and the Interagency Career Transition Assistance Plan (ICTAP).

4.2.2 Vacancy Announcements. Determinations of appropriate areas of consideration and length of open periods for receipt of applications will be made by considering the nature of the positions covered by the examination; their career potential; and the characteristics of the labor market.

4.2.3 Delegated Examining Process. Each candidate's application will be reviewed for minimum qualifications as determined by OPM Operating Manual, "Qualifications Standards for General Schedule Positions," and DAWIA requirements, as needed. Candidates who meet

basic (minimum) qualifications will be further evaluated based on knowledge, skills and abilities that are directly linked to the position to be filled. Managers are responsible for establishing, prior to the recruitment process, the appropriate job-related criteria used to assign the tentative rating scores of 70, 80 or 90. This documentation should include the specific requirements of the position; the knowledge, skills and abilities used to meet the requirement; and the anchors/benchmarks developed to differentiate between candidates. Considering this assessment, candidates will receive a numerical score of 70, 80 or 90. No intermediate scores will be granted except for those candidates who are entitled to veterans preference. Preference eligibles meeting basic (minimum) qualifications will receive an additional five or ten points (depending on their preference eligibility) which is added to the minimum scores identified above.

4.2.4 Quality Groups. Candidates will be assigned to Quality Groups based on their final scores. Candidates will be placed in one of three quality groups: basically qualified (score of 70 to 79), highly qualified (score of 80 to 89) or superior (score of 90 and above).   The names of preference eligibles will be entered on the referral list ahead of others having the same numerical score, and their veterans' preference will be annotated.

4.2.5 Candidate Selection. Candidates will be referred for selection in accordance with the following: For all positions other than scientific/engineering and professional positions at the basic rate of pay equivalent to GS-9 and above, preference eligibles with a compensable service-connected disability of ten percent or more who meet basic (minimum) eligibility will be listed at the top of the highest group certified. For scientific/engineering and professional positions *(MARCORSYSCOM note: positions which have a positive education requirement)* at the basic rate of pay equivalent to the GS-9 and above, candidates will be referred by quality groups in the order of the numerical ratings, including any veterans' preference points.

All candidates in the highest group will be certified. If there is an insufficient number of candidates in the highest group, candidates in the next lower group may then be certified; should this process not yield a sufficient number, groups will be certified sequentially until a selection is made or the qualified pool is exhausted. When two or more groups are certified, candidates will be identified by quality group (e.g., superior, highly qualified, basically qualified) in the order of their numerical scores. Passing over any preference eligible(s) to select a non-preference eligible requires approval under current passover or objection procedures.

4.3 Scholastic Achievement Authority.   This authority allows for the appointment of candidates with degrees to positions in broadband level II with positive education requirements. Candidates may be appointed under this procedure providing: (1) they meet the OPM Operating Manual, "Qualification Standards for General Schedule Positions," and DAWIA requirements, plus any previously established selective placement factors; (2) the occupation has a positive education requirement; (3) the candidate has a cumulative grade point average (GPA) of 3.5 or better (on a 4.0 scale) in those courses in those fields of study that are specified in the qualification standards for the occupational series and an overall undergraduate GPA of at least

3.0 on a 4.0 scale; and (4) the appointment is into a position at a pay level lower than the top step of GS-7. Appointments at the equivalent GS-9 through GS-11 have a GPA requirement of at least 3.7 on a scale of 4.0 for graduate courses in the field of study required for the occupation. Ranking criteria may be established at the local level.

4.3.1 Candidate Responses and Referral. Candidates will be required to respond to an announcement in order to compete for appointments made under this authority. Candidates who meet the basic eligibility requirements and who possess the above scholastic criteria may be referred to the manager in a single group for consideration and in order of their veterans' preference, if applicable.

4.4 Appointment Authority. The Acquisition Workforce Demonstration Project will have three appointment options: permanent, temporary limited, and modified term appointments. Nothing in this demonstration project precludes the use of existing appointment authorities such as Veterans Readjustment Appointments, Disability Appointments, and Student Educational Employment Program (SEEP).

4.4.1 Permanent. The permanent appointment equates to the existing career and career-conditional appointments.

4.4.2. Temporary. The temporary limited appointment equates to the existing temporary authority.

4.4.3 Modified Term. The modified term is a new appointment authority that is based on the existing term appointment, but may extend up to five years with a one-year locally approved extension. The one-year extension must be approved by the commander or his designated representative, for reasons such as special projects; staffing new or existing programs of limited duration; filling a position in activities undergoing review for reduction or closure; and replacing permanent employees who have been temporarily assigned to another position, are on extended leave, or who have entered military service.

4.4.3.1 Employee Selection. An agency may make a modified term appointment from the appropriate register or if the selectee is:

      (a) A person with eligibility for reinstatement;

      (b) Any veteran who is eligible for a Veterans Readjustment Appointment;

      (c) A person eligible for career or career-conditional employment under 5 CFR 315.601 through 315.610, inclusive; or under 315.703;

      (d) A former term employee of the agency who left prior to the expiration of his/her appointment. Reappointment must be to a position covered by the same term authority under which the individual previously served, and service under such reappointment may not exceed the expiration date of the original term appointment;

(e) A disabled veteran who has been retired from active military service with a disability rating of 30 percent or more, or has been rated by the Department of Veterans Affairs within the preceding year as having a compensable service-connected disability of 30 percent or more;

(f) A person eligible for acquisition of competitive status for career appointment under title 5 U.S.C. Section 3304. However, a term employee does not acquire a competitive status on the basis of this term appointment, nor does this term appointment extend or terminate the employee's eligibility under 5 CFR Section 3304.

(g) A temporary employee who is within reach for term appointment to the same position from an appropriate register at the time of his/her temporary appointment, or during subsequent service in the position, provided that the register was being used for term appointments at the time the employee was reached and he/she has been continuously employed in the position since being reached; Or

(h) A person eligible under OPM interchange agreements.

4.4.3.2 Employee Reassignment. A modified term employee may be reassigned to another modified term position provided the original not-to-exceed date remains the same and the employee meets the OPM Operating Manual qualifications standards for GS Positions and applicable DAWIA requirements.

4.4.3.3 Conversion to Career Conditional Appointment. Employees hired under the modified term appointment authority are in a non-permanent status but may be eligible for conversion to career-conditional appointments. To be converted, the employee must: (1) have been selected for the term position under competitive procedures, with the announcement specifically stating that the individual(s) selected for the term position(s) may be eligible for conversion to career-conditional appointment at a later date; (2) have served two years of continuous service in the term position; and (3) be selected under merit promotion procedures for the permanent position.   Service under a modified term appointment immediately prior to a permanent appointment shall count toward the probationary period requirements, provided contribution is adequate and the permanent position is in the same career path as the modified term appointment.

4.5 Probationary Period

4.5.1 Introduction. Newly hired demonstration project employees entering into the Federal workforce for the first time in the Business Management and Technical Management Professional career path need to demonstrate adequate contribution during the acquisition process. Additional training, which takes the employee away from the normal line of supervision, could minimize the time available for the supervisor to determine whether the employee should be retained beyond the probationary period. The purpose of extending the probationary period is to allow supervisors sufficient time to properly, objectively, and completely evaluate an employee's contribution and conduct within the acquisition workplace environment. Excluding the extended duration, all other features of the current probationary period are retained, including the potential to remove an employee without providing the full

substantive and procedural rights afforded a non-probationary employee. Personnel assigned to modified term appointments are not placed on a probationary period since they serve on a trial period. Employees appointed to the Federal Service prior to the implementation date of the acquisition demonstration project, or who previously successfully completed a probationary period, will not be affected by this provision.

4.5.2 Procedures. When a vacancy within the organization is filled via a permanent appointment, the new employee will be assigned to a one-year probationary period, unless the employee has previously met probationary requirements under 5 CFR 315.801. The nature of action codes and processing instructions will remain the same. (***MARCORSYSCOM Note: Applies to all career paths and broadband levels for employees newly hired into the federal government.***

4.5.3 Education/Training. If at any time during the one-year probationary period, the employee is assigned to training, or is required to obtain additional education, which results in the employee being away from their normal work site and outside regular supervisory review, the supervisor may, at his/her discretion, extend the probationary period of the employee by the same amount of time as the training or educational assignment. The decision to extend the probationary period will be in writing and made prior to any assignment to training or education, and the employee will be informed in advance. A copy of the change will be forwarded to the servicing personnel office to ensure that the appropriate edits in DCPDS are made.

4.6 Internal Placement Procedures.

4.6.1 Merit Promotion. Reference Chapter 5, paragraph 5.3 (Movement Between Broadband Levels) for a description of when competition is required and Chapter 5, paragraph 5.5. for selections not subject to competition. Each servicing personnel office will follow its local merit promotion plan and any applicable union agreements and locally approved policies for internal placement actions.

4.6.2 Reassignment Within the Demonstration Project. The demonstration project is designed to provide employees and management maximum flexibility concerning work assignments. See Chapter 5, paragraph 5.5, Change in Assignment.

4.7 Priority Placement Program. For PPP registration and matching purposes, grade-level determination will be made based on DoD human resources policies and procedures established by DASD(CPP).

4.7.1 Reorganization/Realignment Procedures. When a demonstration project acquisition organization (i.e., a Program Executive Office, a Designated Acquisition Command, or equivalent and their subordinate Program Management Offices) is undergoing an announced formal reorganization or realignment associated with downsizing, a Priority Placement Program exception request to permit reassignment or change to lower broadband or grade of the affected employees to the resulting, new organization (without regard to geographic location) may be submitted directly to the DASD(CPP) for consideration. Normally, major exceptions are submitted through the command or management structure of the organization for review and

approval/disapproval by the DASD(CPP). This procedural exception will ensure that all such requests are expedited. Each request will be reviewed and approved/disapproved on a case-by-case basis.

4.7.2 Support for Participating Acquisition Workforce Employees Subject to Geographic Mobility. Current programs have been enhanced to mitigate the impact of geographic relocation upon acquisition workforce employees participating in the demonstration project. Specifically, when such employees are subject to mandatory geographic mobility outside the commuting area, their spouses who are also currently employed by DoD will be registered as PPP Priority 3 candidates. This initiative affords the spouse an alternative vehicle for employment opportunities. Maximum steps should be taken by participating organizations to inform the workforce of this program's availability.

Chapter 5 - PAY ADMINISTRATION

5.1 New Hires and Employees Entering the Demonstration Project After Initial Implementation. Initial pay will be set at a level consistent with the individual's qualifications and the expected contribution of the position. Employees will enter the demonstration project at their existing rate of pay, the minimum salary for the broadband level, or a rate determined by management. The hiring official will determine the starting salary based upon available labor market considerations relative to special qualifications requirements, scarcity of qualified applicants, programmatic urgency, and education/experience of the new candidates. For employees on special salary rates who transfer into the demonstration, their basic pay rate will be set by the process outlined in Chapter 2, paragraph 2.3.

MARCORSYSCOM 5.1 New Hires and Employees Entering the Demonstration Project After Initial Implementation. For new appointments, the commander or delegated authority must approve the special monetary recruitment and relocation payments allowed under the Federal Employees Pay Comparability Act (FEPCA), if applicable. Additionally, approval must be obtained from the pay pool manager when salary is set above existing rate of pay for the broadband level.

5.2 CCAS Annual Adjustment. Salary adjustments are fully described in Chapter 6, paragraph 6.4, and provided below. The annual assessment process begins on October 1 and ends September 30 of the following year. Employees will enter the demonstration project at their current rate of pay and will receive the full general pay increase in January 1999. The pay pool manager approves the final employee overall contribution score and salary adjustments.

The appropriately compensated employee (employee whose contribution versus pay falls on or within the rails) <u>must</u> receive the full general pay increase, <u>may</u> receive a contribution rating increase of up to 6%, and <u>may</u> receive a contribution award. The contribution rating increase is included as a permanent increase in the base pay but the contribution award does not effect base pay.

The inappropriately compensated (above the rails – A) employee <u>could be denied</u> part or all of the general pay increase and will receive <u>no</u> contribution rating increase nor contribution award.

The inappropriately compensated (below the rails – B) employee <u>must</u> receive the full general pay increase, <u>may</u> receive up to a 20% permanent increase in pay, and also <u>may</u> receive a contribution award.

MARCORSYSCOM 5.2. CCAS Annual Adjustment. The dates for the first CCAS are 14 February 1999 to 30 September 1999 with the first CCAS payout in January 2000.

Category	General Pay Increase	Contribution Rating Increase	Contribution Award	[1]Locality Pay
Inappropriately Compensated - A	Could be reduced or denied	NO	NO	YES
Appropriately Compensated	YES	YES[2] - Up to 6%	YES[5]	YES
Inappropriately Compensated - B	YES	YES[3,4] - Up to 20%	YES[5]	YES

[1] Basic pay plus locality pay may not exceed Executive Level IV basic pay.

[2] May not exceed upper rail of NPR for employee's OCS or maximum salary for current broadband level.

[3] Over 20% requires local commander's approval.

[4] May not exceed 6% above the lower rail or the maximum salary for current broadband level.

[5] Pay pool manager approves up to $10,000. Amounts exceeding $10,000 require local commander's approval

Table 1. Compensation Eligibility Chart

Locality pay adjustments are not included in the pay pool for distribution but are incorporated in a demonstration project participants' pay. All employees will receive any locality pay adjustment for their locality. The dollar amount to be included in the pay pool will be computed based on the salaries (excluding locality pay) of the employees in the pay pool as of September 30 each year.

Pay adjustments will be documented by a personnel action using Nature of Action Code (NOAC) 894. Contribution Awards will be documented using a NOAC 885. See Appendix G.

5.3 Movement Between Broadband Levels Movement within a broadband level will be determined by contribution. Movement to a higher broadband level is normally a competitive action, based on Office of Personnel Management qualification standards (see paragraph 4.6). (A higher broadband level is one with a higher maximum rate of pay than the employee's current broadband level.) Noncompetitive promotion procedures in the current system will remain viable in the demonstration project. Movement to a lower broadband level may be voluntary or involuntary.

Broadband levels are derived from the current salaries of the banded GS grades. The lowest salary of any given broadband level is that of the lowest GS grade, step one in that broadband level. Likewise, the highest salary of any given broadband level is that of the highest GS grade, step ten in that broadband level. There is a natural overlap in salaries in the GS grades that also occurs in the broadband system. Since the overall contribution scores (OCS) are directly related to salaries, there is also an overlap between OCSs across broadband levels.

Under the demonstration project, managers are provided greater flexibility in assigning duties by moving employees between positions within their broadband level. If there are vacancies at higher levels, employees may be considered for promotion to those positions in accordance with competitive selection procedures.

5.4 Providing a Rating of Record Under Special Circumstances. When an employee is a new hire or transfers into the demonstration, his/her initial contribution level is considered to be in parity with his/her current pay until an official written contribution assessment is rendered. Depending upon the time the employee is hired/transferred, the initial CCAS appraisal can occur up to 18 months after employment or transfer.

When an employee moves between pay pools within the demonstration project and has served less than six months in the new pay pool as of September 30, the employee will receive a rating of record which is an expected OCS in the new pay pool for that rating cycle. Employees who move from a pay pool between 30 September and the subsequent payout will receive an OCS and the payout from the former pay pool.

Employees who perform union representation tasks less than full time (80 hours per pay period), are eligible to receive contribution rating increases and contribution award increases in addition to the general pay increase. Such increases must be based on the contribution made through their regular duty assignments (work performed other than union representation). Employees who perform union representation duties 100 per cent of their time are entitled to receive the general pay increase plus the expected contribution rating increase for their appropriate pay pool. Employees who perform union representation duties 100 per cent of their time are not eligible for a contribution award. All pay adjustments for employees who perform union representation duties will be funded from the pay pool to which he/she is assigned

When circumstances (long-term full-time training, active military duty, long term medical leave, etc.) take an employee away from their normal duties during an extended period of time during a rating cycle, the rating official has two options.

        -- Option 1 is to re-certify, using the last OCS as the new assessment; or
        -- Option 2 is to presume the employee is contributing consistently with his/her pay level and will be given the full general increase. In this case, management may assign an OCS that corresponds to the expected OCS based on the employee's current salary. (Note, however, that under Option 2, even if the expected rating falls within the "inappropriately compensated – A region," the employee will still receive the full general increase. In this situation, management should carefully consider which option is more likely to produce a fair and equitable result for both the affected employee and other employees in the same paypool.

In either case the annual contribution evaluation form must document the circumstances behind the assessment.

5.5 Change in Assignment The CCAS concept, using the broadband structure, provides flexibility in making assignments. In many cases an employee can be assigned, without pay change, within broad descriptions, and, at the same time, consistent with the needs of the organization and commensurate with the individual's qualifications. Subsequent organizational assignments to projects, tasks, or functions requiring the same level, area of expertise, and qualifications do not constitute an assignment outside the scope or coverage of the current level descriptors. In most cases, such assignments are within the level descriptors, and can be accomplished without the need to process a personnel action. Assignment resulting in series change, broadband level change, or change to KSAs shall be accomplished by an official personnel action. Thus, this approach allows broader latitude in organizational assignments and streamlines the administrative process. Rules for specific types of assignments under CCAS are as follows. Supervisors should consult with their servicing personnel staff when considering any action described in this chapter.

5.5.1 Promotion. When an employee is promoted to a higher broadband level, the salary after promotion shall be at least six percent, but not more than 20 percent greater than the employee's current salary. However, if the minimum rate of the new broadband level is more than 20 percent greater than the employee's current salary, then the minimum rate of the new broadband level is the new salary. The employee's salary shall not exceed the salary range of the new broadband level. When an employee receiving a retained pay rate is promoted to a higher broadband level, at a minimum, the employee's salary upon promotion will be set in the higher broadband level (1) at six percent higher than the maximum rate of the employee's existing broadband level, or (2) at the employee's existing retained rate, whichever is greater.

MARCORSYSCOM 5.5.1. Under the conditions stated in paragraph 5.5.1 (above), the supervisors recomme nd salary increases and the pay pool manager approves/disapproves.

5.5.1.1 Salary Adjustment Guidelines for Temporarily Promoted Employees. After the initial assignment into the CCAS, employees' yearly contributions will be determined by the CCAS process, and their overall contribution score (OCS) versus their current rate of basic pay will be plotted on a graph along the normal pay range (NPR). For this purpose, where an employee is temporarily promoted at the time OCS is determined, the "current rate of basic pay" is construed as the rate of basic pay for the position to which the employee is permanently assigned, and the OCS will be plotted on the graph accordingly. When making CCAS salary adjustment for temporarily promoted employees, pay pool managers should carefully consider whether the employee has demonstrated sustained performance of high quality significantly above that expected in the permanent position concerned. Components may establish additional procedures to ensure that temporarily promoted employees are equitably treated, but are not inappropriately compensated on a permanent basis for the temporary performance of higher-broadband duties.

MARCORSYSCOM 5.5.1.1 Salary Adjustment Guidelines for Temporarily Promoted Employees. Salary adjustment will be made to the employee's position of record. Once the salary of the position of record is affected, the salary of the temporary promotion will be revalidated to be at least 6% above the position of record, in accordance with 5.5.1.

5.5.2 Competitive Selection for a Position with Higher Potential Salary. When an employee is competitively selected for a position with a higher target broadband level than previously held (e.g., Upward Mobility, interns), upon movement to the new position the employee will receive the salary corresponding to the minimum of the new broadband level or the existing salary, whichever is greater.

5.5.3 Non-competitive Actions. The following actions are excepted from competitive procedures:

(a) Re-promotion to a position which is in the same broadband level as the employee previously held on a permanent basis within the competitive service.

(b) Promotion, reassignment, change to a lower broadband level, transfer or reinstatement to a position having promotion potential no greater than the potential of a position an employee currently holds or previously held on a permanent basis in the competitive service.

(c) A position change permitted by demonstration project reduction in force procedures.

(d) Promotion without current competition when the employee was appointed through competitive procedures to a position with a documented career ladder (upward mobility, interns, etc.).

(e) A temporary promotion or detail to a position in a higher broadband level up to 120 days.

(f) Consideration of a candidate not given proper consideration in a prior competitive promotion action under the demonstration project.

(g) Any other non-competitive action as determined by the components.

5.5.4 Voluntary Change to Lower Broadband Level/Change in Career Path (except RIF)
If a request is employee initiated, then the employee's salary is lowered according to this section. Employees should be encouraged to advance their careers through increasing contribution, rather than electing to be at a fixed level of contribution in a lower broadband level. However, an employee may submit a written request for voluntary change to broadband level or career path following the annual payout, and provide reasons for the request. All actions shall be documented by use of an official personnel action and appropriately filed.

When an employee accepts a voluntary change to lower broadband level or different career path, the salary may be set at any point within the broadband level to which placed. However, the new salary shall not exceed the employee's current salary or the maximum salary of the broadband level to which assigned, whichever is lower.

5.5.5 Involuntary Change to a Lower Broadband Level Without Reduction in Pay Due to Contribution-Based Action. Due to inadequate contribution, an employee's salary may fall below the minimum rate of basic pay for the broadband level to which he/she is assigned. When an employee is changed to a lower broadband level due to such a situation, it is not considered an adverse action. Supervisors shall initiate an involuntary change to lower broadband level promptly after the pay pool manger approves the annual payout. An official personnel action will be prepared to reflect this change. The employee's rate of basic pay shall remain unchanged. *(MARCORSYSCOM Note: See appendix G for NOAC).*

5.5.6   Involuntary Reduction in Pay/Change to Lower Broadband Level/Change in Career Path Due to Adverse Action. This section deals with actions that are not contribution-based but rather are disciplinary in nature. When an employee is changed to a lower broadband level, moves to a new position in a different career path, or receives a reduction in pay within his or her existing broadband level and career path due to adverse action, the employee's salary shall be reduced by at least six percent, but shall be set no lower than the minimum salary of the new broadband level to which assigned. Employees placed into a lower broadband due to adverse action are not entitled to pay retention**. (***MARCORSYSCOM NOTE:*   MARCORSYSCOM Grievance Procedures are discussed in paragraph 6.6.**)

5.5.7 Involuntary Change to Lower Broadband Level/Change In Career Path, Other than Adverse or Contribution-based. If the change is not a result of an adverse or contribution-based action, the employee is entitled to retained pay if all title 5 (5 U.S.C. 5363 and 5 CFR 536, as modified by the demonstration's waiver to that Part.).

5.5.8 Reduction-in-Force (RIF) Action (Including Employees Who are Offered and Accept a Vacancy at A Lower Broadband Level Or in a Different Career Path). The employee is entitled to pay retention if all title 5 conditions are met.

5.5.9 Return to Limited or Light Duty from a Disability as a Result of Occupational Injury to a Position in a Lower Broadband Level or to a Career Path with Lower Salary Potential than Held Prior to the Injury. The employee is entitled indefinitely to the salary held prior to the injury and shall receive full general and locality pay increases, unless the employee is eligible for pay retention, then the pay retention rules apply.

5.5.10 Pay Retention. Employees on retained rate in the demonstration project will receive pay adjustments in accordance with 5 U.S.C. 5363 and 5 CFR 536. An employee receiving a retained rate is not eligible for a contribution rating increase, since such increases are limited by the maximum salary rate for the employee's broadband level.

MARCORSYSCOM 5.5.10 Pay Retention. An employee on retained grade whose salary exceeds the maximum pay of the employee's broadband level, remains in that level at the rate of pay plus 50% of the general pay increase IAW 5 U.S.C. and 5 CFR 536.

Chapter 6 - CONTRIBUTION-BASED COMPENSATION AND APPRAISAL SYSTEM

6.1 Introduction The purpose of the Contribution-based Compensation and Appraisal System (CCAS) is to provide an equitable and flexible method for appraising and compensating the DoD acquisition workforce. It provides management, at the lowest practical level, the authority, control, and flexibility needed to achieve quality acquisition processes and quality products while developing a highly competent, motivated, and productive workforce. It allows for more employee involvement in the performance appraisal process, increases communication between supervisors and employees, promotes a clear accountability of contribution by each employee, facilitates employee pay progression tied to organizational contribution, and provides an understandable basis for salary changes.

CCAS is contribution-based appraisal system that goes beyond performance-based rating system. Thus, it measures the employee's contribution to the mission of the organization. Salary adjustment decisions are based on contribution to the organization. Whenever the term "salary" is used in this chapter, locality pay is not included.

6.2 Normal Pay Range (NPR). The normal pay range (Figure 2) links contribution to salary. The curved standard pay line (SPL) tracks from the lowest scheduled rate of basic pay, GS-1/1, to the highest pay, GS-15/10. (Note: See MARCORSYSCOM 6.2 for further definition) The NPR uses the following parameters:

(a) The standard pay line (SPL) begins at an overall contribution score (OCS) of 0 and the lowest salary paid under this demo, GS-1, step one.

(b) The SPL ends at an OCS of 115 and the highest salary paid under this demo, GS-15, step 10.

(c) Changes in OCS correspond to a percentage change in salary along the SPL, resulting in the curved lines depicted in Figure 2.

(d) The distance from the SPL to either rail for any given OCS is eight percent in salary throughout the OCS range.

The NPR is the same for all the career paths. What varies among the career paths are the beginnings and endings of the broadband levels (see Figure 1). The minimum and maximum numerical OCS values for each broadband level by career path are provided in Table 4 (Point Ranges).

Employees enter the demonstration project without a loss of pay and without an overall contribution score.   The first OCS score results from the first annual CCAS assessment process. Employees may determine their expected contribution range by locating the intersection of their salary with the rails of the NPR.

The rails are established at +/- eight percent in salary (about 4 points in OCS) from the SPL and define the "normal pay range" or the appropriately compensated region *(MARCORSYSCOM*

Note: See paragraph 5.2 and/or glossary). The rails account for variability in determining the OCS and ensure that those entering the demonstration project at the maximum salary of their broadband level do not have to "max out" all the factor level descriptors to remain within the rails. For example, a GS-13/10 who enters the demonstration project in the broadband level III of the Business Management and Technical Management Professional career path and receives an OCS of 79 will be considered appropriately compensated. She/he does not need to score the maximum of 83, but does need to demonstrate contribution (a minimum OCS of 79), commensurate with their present salary. The NPR is increased in accordance with the General Schedule Pay Increase.

MARCORSYSCOM 6.2 Normal Pay Range (NPR). The Standard Pay Line (SPL) is a graph line that begins with the lowest scheduled rate of basic pay (GS-1 step 1) and continues to the highest pay (GS-15 step 10). The SPL lies equidistant between the Upper and Lower Rails. The Upper and Lower Rails bound the Normal Pay Range (NPR) (See Figure 2). The formulas used to determine graphical location of the Upper and Lower Rails are shown below. The NPR includes any existing General Pay Increase but does not reflect locality pay.

FORMULAS:

$$\text{Salary}_{\text{upper rail}} = (\text{GS-1 Step 1})*(1.0800)*(1.020043)^{\text{OCS}}$$
$$\text{Salary}_{\text{lower rail}} = (\text{GS-1 Step 1})*(0.9200)*(1.020043)^{\text{OCS}}$$
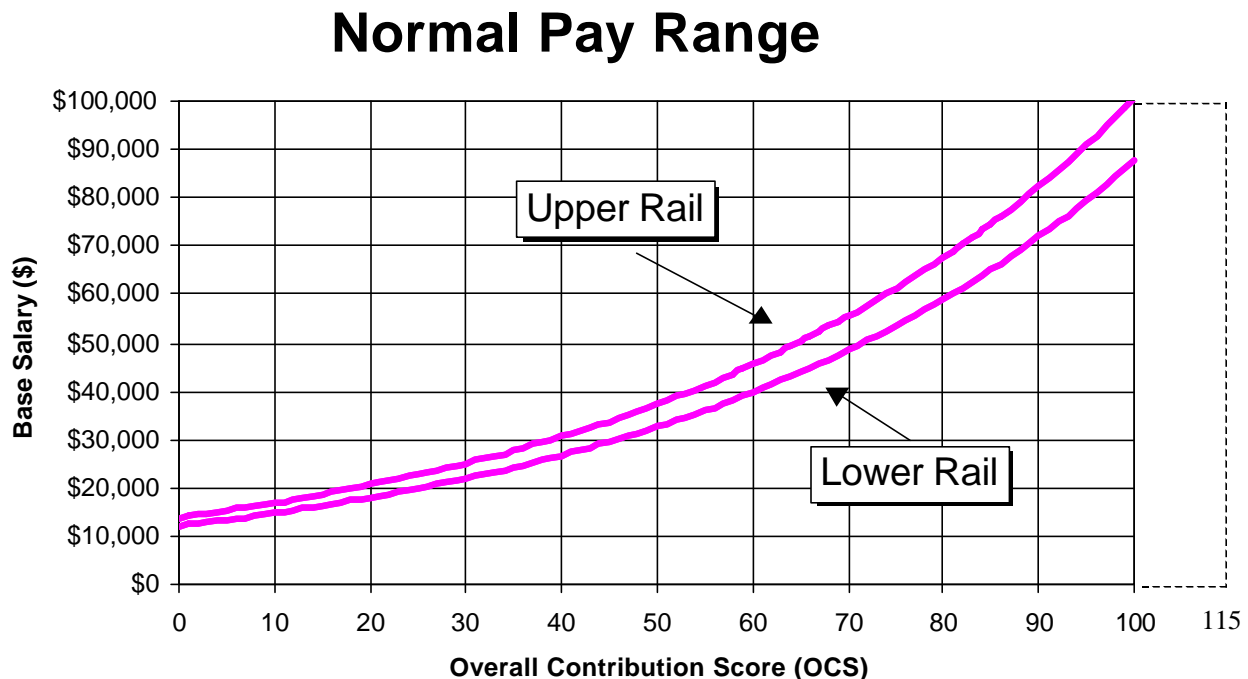
Normal Pay Range

Figure 2. Normal Pay Range

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6.3 Factors/Discriminators/Descriptors. Employee contributions are assessed by factors, discriminators, and descriptors which are fundamental to the success of an acquisition organization and capture the critical content of jobs in the three career paths: Business Management and Technical Management Professional, Technical Management Support, and Administrative Support. These factors, discriminators, and descriptors shall not be modified or supplemented.

The factors for the three career paths are the same:
- *Problem Solving.* Describes personal and organizational problem solving results.

- *Teamwork/Cooperation.* Describes individual and organizational teamwork and cooperation for both formal and informal teams.

- *Customer Relations.* Describes the effectiveness of personal and organizational interactions with customers, both internal and external.

- *Leadership/Supervision.* Describes individual and organizational leadership and/or supervisory contributions.

- *Communications.* Describes the effectiveness of oral/written communications.

- *Resource Management.* Describes personal and organizational utilization of resources to accomplish the mission. (Resources include, but are not limited to, personal time, equipment and facilities, human resources, and funds.)

The discriminators refine the factors. For example, the Communication factor has three discriminators (level of interaction (audience), written, and oral), which are the same for all levels of contribution. Although the discriminators cannot be modified, it should be noted that reasonable accommodations must be considered when evaluating the contributions of employees with special needs.

The descriptors define increasing levels of contribution and are different for each career path. Table 2 (Business Management and Technical Management Professional Example (Communication)) shows an example of the Communication factor and its associated discriminators and descriptors for the Business Management and Technical Management Professional Career Path. Factors, discriminators, and descriptors for all levels in all career paths are provided in Appendix C (Broadband Level Descriptors).

Level	Descriptors	Discriminators
I	- Communicates routine task status results as required. - Provides timely data and written analyses for input to management/technical reports or contractual documents. - Explains status/results of assigned tasks.	- Level of Interaction (Audience) - Written - Oral
II	- Communicates team or group tasking results, internally and externally, at peer levels. - Writes, or is a major contributor to, management/technical reports or contractual documents. - Presents informational briefings.	- Level of Interaction (Audience) - Written - Oral
III	- Communicates project or program results to all levels, internally and externally. - Reviews and approves, or is a major contributor to lead author of management reports or contractual documents for external distribution. Provides inputs to policies. - Presents briefings to obtain consensus/approval.	- Level of Interaction (Audience) - Written - Oral
IV	- Determines and communicates organizational positions on major projects or policies to senior level. - Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. Resolves diverse viewpoints/controversial issues. - Presents organizational briefings to convey strategic vision or organizational policies.	- Level of Interaction (Audience) - Written - Oral

Table 2. Business Management and Technical Management Professional Factor Example (Communication)

NOTE: The descriptors indicate the contribution for the high end of each level. For example, the descriptors for level 4 (formerly GS-14 and GS-15) were developed to meet GS-15 requirements. Also the descriptors are not to be used individually to assess contribution but taken as a whole to derive a single evaluation for the factor.

MARCORSYSCOM 6.3 Factors/Discriminators/Descriptors. The descriptors were developed at the highest GS grade encompassed in the broadband level to foster employee growth within the broadband level. It is highly recommended that the pay pool panels (See appendix M) meet at the beginning of each appraisal cycle to discuss and reach a common understanding of the factors, discriminators, and descriptors.

6.4 Annual Contribution-based Compensation & Appraisal System Process (CCAS). The annual assessment process begins on October 1 and ends on September 30 of the following year. At the beginning of the rating period, pay pools, pay pool panels and pay pool managers are identified, and factor weights are established (if used) (See paragraph 6.5 and/or appnedix M).

A pay pool is a group of employees who share in the distribution of CCAS dollars. It is usually based on the organizational structure and is established under the guidance of the commander. The pay pool will typically include employees of many functional areas (such as contracting personnel, engineers, budget analysts), as well as their rating officials (supervisors). It is recommended that activities whose employees are represented by a union invite that union to participate in the pay pool process. The union's participation may include membership on the pay pool panel, assisting in the design of the pay pool structure, and receiving training on the way salary adjustments will be made under the CCAS program and distributed under the pay pool. The extent of this involvement should be defined in the negotiated agreement.

- Every participant of the demonstration is a member of a pay pool except for employees participating in the Student Career Experience Program.

- Pay pools should typically be between 35 and 300 employees to constitute a reasonable workable size. If a minimum of 35 employees is not available, consideration may be given to combining similar groups.

The pay pool panel, which includes the pay pool manager and rating officials who normally report directly to the pay pool manager, determines the final employee overall contribution score and makes recommendation for salary adjustments. A pay pool panel member shall not recommend or set his/her own pay. Prior to the appraisal period, the pay pool panel determines if weights are required, specific job categories to which factor weights apply, and what the weights are. (Refer to paragraph 6.5 for specifics on weighting.)

The pay pool manager is the individual within the organization who is responsible for managing the CCAS process. As such, the pay pool manager has annual pay adjustment authority. Determinations made by the pay pool manager may be subject to higher management review. The pay pool manager shall not recommend or set his/her own pay.

MARCORSYSCOM 6.4 Annual Contribution-based Compensation and Appraisal System Process (CCAS). The pay pool structure and allocated funds are under the authority of the local commander or equivalent. The following minimal guidelines will apply:

   (a) a pay pool must be large enough to include a second level of supervision, since the CCAS process uses a group of supervisors in the pay pool to determine OCS and recommended salary adjustments;

  (b) neither the pay pool manager nor the supervisors within a pay pool will recommend or set their own individual pay levels; and

  (c) the number and composition of pay pools will be certified annually by the commander or equivalent.

MARCORSYSCOM 6.4a CCAS Process Timeline. Table 6-1 should be used for the CCAS.

Contribution-based Compensation and Appraisal System (CCAS) Timeline		
Time Period	Task	
October 1 - September 30	Annual CCAS rating cycle	
October	Supervisor/Rating Official discusses with employee the expectations of contribution for the appraisal period. See Para 6.4.1.	
March - April	Mid-point discussion between supervisor/rating official and employee. See Para 6.4.2.	
September 1	Complete CCAS Salary Appraisal Form. See Appendix D.	
	Supervisor/Rating official provides CCAS salary appraisal form to employee.	Employee completes Part III of the CCAS Salary Appraisal Form and returns form to supervisor NLT October 15. See Para 6.4.3, Step 1.
October	Supervisor/Rating Official assesses level of employee's contribution. See Para 6.4.3, Step 2.	
October - November	Pay Pool Panel meets and reviews appraisals IAW Para 6.4.3, Steps 3-10.	
November - December	Rating Official communicates final OCS, factor scores and pay adjustments to employee; and potential opportunities for increasing contribution for the new appraisal period are also discussed. See Para 6.4.1, Step 11.	Rating Official discusses with employee the expectations of contribution for the new appraisal period (Oct – Sep). See Para 6.4.1.
December	Complete personnel actions to document pay adjustments NOAC 894. See Para 6.4.5.	
January	Pay adjustments effective first full pay period in January.	
MARCORSYSCOM Table 6-1		

MARCORSYSCOM Table 6-1

MARCORSYSCOM 6.4b Minimum Period for Contribution Appraisals. Employees cannot be rated until they perform under approved contribution objectives for at least 180 days. The CCAS appraisal process brings supervisors and employees together for formal discussions on expectations of contribution and results in (1) written appraisals, (2) contribution factors ratings, and (3) overall contribution score. The CCAS process shall consist of two meetings (minimum) between employee and supervisor – the expectations of contribution for the appraisal period meeting and the contribution feedback meeting (normally at the midpoint of the CCAS cycle).

MARCORSYSCOM 6.4c Minimum Rating Official Qualification. The rating official, normally the first level supervisor, must have completed the Supervisor CCAS training to qualify to rate/appraise the employee's contribution. The Training Office will provide training and certification.

MARCORSYSCOM 6.4d Pay Pool Manager Responsibilities. The pay pool manager will:

      (1)   oversee the CCAS appraisal process, including ensuring equality of the standards and rating policies for pay pool members;

      (2)   review and approve CCAS appraisals for all pay pool members;

      (3)   chair all pay pool meetings;

      (4)   ensure equitable annual pay determinations for all command employees assigned to the pay pool;

      (5)   ensure CCAS bonuses and basic pay adjustments do not exceed allotted pay pool funding; and

      (6)   ensure timely CCAS training of all supervisors of civilian employees participating in the Command Demonstration Project.

MARCORSYSCOM 6.4e Annual CCAS Appraisal Period. Employees who are a new hire or transfer into the demonstration with less than six months to the end of the rating period will be considered to be in parity with his/her current pay until an official written contribution appraisal is rendered. The new hire/transferred employee will not be rated that year but will receive the full amount of General Pay Increase. Depending upon the time the employee is hired/transferred, the initial CCAS appraisal can occur up to 18 months after employment or transfer.

6.4.1 Communicating CCAS Requirements at the Beginning of Appraisal Cycle.
At the beginning of the appraisal cycle, the supervisor discusses with the employee the expectations of contribution for the appraisal period. This includes discussion of career path, broadband level, factors, and weights (if applicable). The supervisor is encouraged to review with each employee the expected contribution level (OCS range) corresponding to current salary. See Figure 3 for an overview of the CCAS process. Additionally, employees will be informed that **all** factors are "critical".

CCAS Process

Pay Pool
Manager/Panel
Annual Planning
___
Rating official notifies
employee of

1) career path and
broadband level,
factor weights
discriminators,
descriptors,
and

2) overall contribution
scores's (OCS) which
correspond to
Employee's pay

Begin
CCAS
Cycle

End
CCAS
Cycle

Informal. frequent
communication between
rating official and
employee
throughout the year.

Employee
Prepares
Summary of
Contributions.

Rating official
Places employees in
contrib. matrix

**Pay pool panel
determines
final OCS and
recommends pay
adjust.**

Rating official
communicates
final OCS, factor
scores, and pay
adjustments,
to
employee.

$$$
Pay adjustments
effective 1st
pay period
in January

SEP	OCT	JAN	APR	JUL	SEP	OCT

Beginning of Cycle   End of Cycle

Figure 3. CCAS Process

6.4.2 Feedback During the Appraisal Cycle. During the appraisal cycle, informal and frequent communication between rating official and employee is essential. This must include discussion of any inadequate contribution in one or more of the factors. At the mid-point of the first CCAS cycle, each pay pool is required to conduct a CCAS evaluation up to the point of loading data into the DCPDS.

Each Service, Agency or organization may require one or more formal or informal feedback session(s). Additionally, feedback sessions may be governed by local bargaining agreements. During the feedback sessions, discussions should include the employee's strengths and weaknesses in areas of contributions to the organization's mission, professional development, and career development activities. *(MARCORSYSCOM Note: Supervisors are expected to conduct at least one feedback session at mid-cycle).*

6.4.3 Evaluation at the End of the Appraisal Cycle. The following describes the steps of the contribution assessment process. These steps usually occur over a two-month period (typically October and November).

STEP 1. At the conclusion of the appraisal period, the rating official (normally the first level supervisor) requests that employees provide narrative comments describing their own contributions throughout the year for each factor. However, an employee may elect not to provide such information. See Appendix D for CCAS appraisal forms.

STEP 2. The rating official considers inputs from the employee, personal observations, and may consider other sources as appropriate, to assess the level of the employee's contribution for each factor using a matrix as illustrated in Table 3.

			FACTORS					
			Problem Solving	Teamwork/ Cooperation	Customer Relations	Leadership/ Supervision	Commun.	Resource Mgt
Level		Very High						
	IV	High						
		Med						
		Low						
	III	High			X			
		Med	X					X
		Low				X		
	II	High						
		MH						
		Med					X	
		ML						
		Low		X				
	I	High						
		Med						
		Low						

Table 3. Sample Contribution Matrix for Business Management and Technical Management Professional

The contribution matrix, which includes the six factors across the top and different levels down the side, is used to assess the level of contribution for each factor. For example, in Table 3, an individual contributing at level III for Customer Relations would be making a greater contribution than someone contributing at level II. It should be noted that the levels are subdivided into low, medium, and high except for level II, which contains five categories to accommodate the wider broadband level range (formerly GS-5 through GS-11).

STEP 3. The pay pool panel (pay pool manager and the rating officials in the pay pool who report directly to him/her) meets for the first time.

- In the first meeting, each rating official in the pay pool, in turn, enters into the contribution matrix the name of an individual (starting with those who fit the descriptors best). The "Very

High" category is reserved for those individuals that score well above the descriptors in any one of the six factors. Placement into this category is designed to ensure equity for those individuals that begin the cycle at the top of the rails and to recognize superior performance. Typically, employees placed in the "Very High" point range will be those individuals at the top salary limit of their career path.

- This process continues until all employees are placed in the contribution matrix. Rating officials are not included in the matrix.

- The pay pool panel reviews each cell of the matrix for equity and consistency. Are the right people grouped together? For example, are the individuals who communicate at the same level grouped together? Are individuals who are making exceptional contribution in a factor or factors rated in the "Very High" category?

- Adjustments are made until consistency and equity are reached. If disagreements persist, the pay pool panel meets until issues are resolved. If agreement cannot be reached, the pay pool manager decides.

STEP 4. Before adjourning the first meeting, the pay pool panel converts the matrix placement of each employee from Step 3 into a numerical contribution score for each factor using Table 4. The Overall Contribution Scores (OCS) are then calculated. This is where weights for individual factors would be incorporated, if applicable. (See paragraph 6.5 for discussion of factor weights.) Note that within Table 4, different point ranges relate to different career paths. For example, for the Business Management and Technical Management Professional, an employee's placement in the matrix at the medium level III, could be scored as 71. An employee in the Technical Management Support career path, placed in the matrix at the medium level III, could be scored as 56.

			Business and Technical Professional	Technical Support	Administrative Support
			Point Range	Point Range	Point Range
L E V E L S		Very High	115	95	70
	IV	High	96-100	79-83	
		Med	84-95	67-78	
		Low	79-83	61-66	
	III	High	79-83	62-66	57-61
		Med	67-78	52-61	47-56
		Low	61-66	43-51	38-46
	II	High	62-66	47-51	42-46
		MH	51-61	41-46	
		Med	41-50	36-40	30-41
		ML	30-40	30-35	
		Low	22-29	22-29	22-29
	I	High	24-29	24-29	24-29
		Med	6-23	6-23	6-23
		Low	0-5	0-5	0-5

Table 4. Point Ranges

- Following the first meeting, the pay pool manager lists all employees in order by OCS and name; several persons may be at the same level. The list is distributed to the pool panel officials for their review prior to the second meeting.

For larger pay pools where one meeting may be insufficient, subpanels may meet to accomplish the previous steps. Figure 4 contains a notional example of how this larger pay pool (with several different levels) might appear. The subpanels may be comprised of rating officials (first level supervisors) and the second level supervisor.
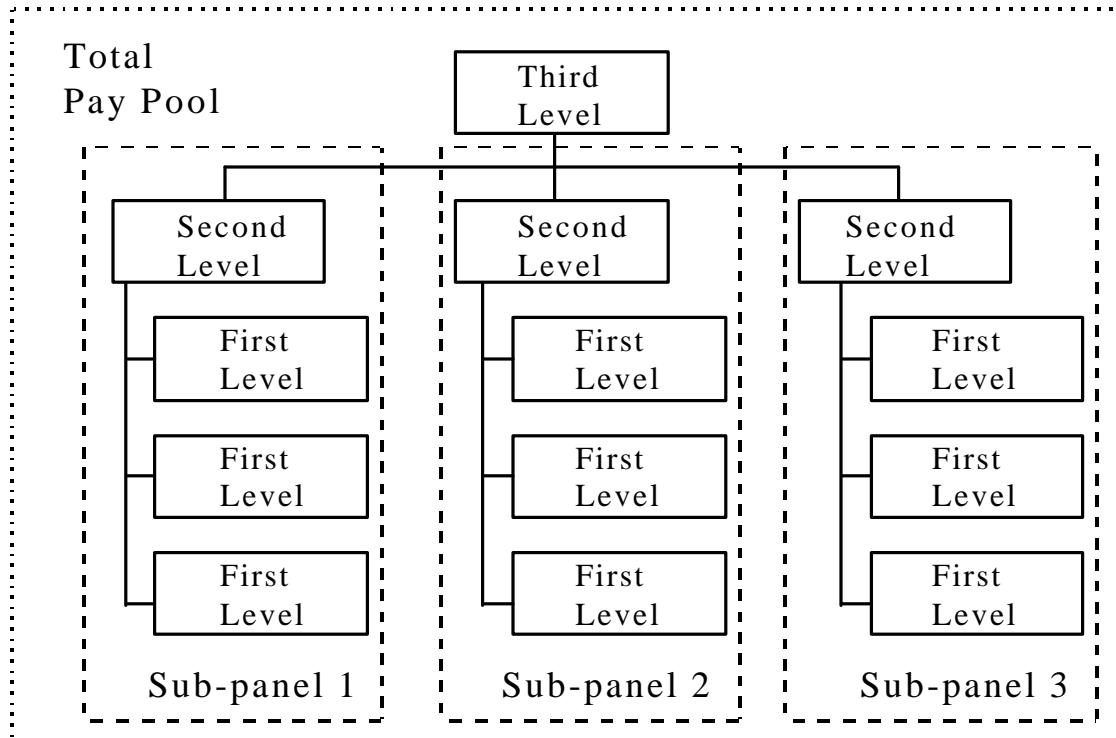
Figure 4. Notional Larger Pay Pool Example

In this example, following the first meeting of the subpanels, the second level supervisors meet with the third level supervisor (who, in most cases, will be the pay pool manager) to review subpanel results. This meeting ensures consistency across the various divisions and includes the first level supervisor's OCS in the pay pool. If inconsistencies are noted, they are discussed and resolved with the respective rating official.

STEP 5. In this step the pay pool panel meets for the second time to identify any inconsistencies in the employees' OCS consolidated listing. (This meeting should be 1 to 2 weeks after the first meeting to allow the pay pool members time to reflect on the resultant OCS listing of the employees.) If inconsistencies in the OCS list are identified, the rating officials revisit the contribution matrix, reconsider the placement of the employees, and make adjustments if appropriate.

STEP 6. Pay pool panel turns over the OCS list to the pay pool manager for official approval after which this approved OCS becomes the employee's rating of record.

STEP 7. After the pay pool manager approves the OCS, the current salary versus OCS is plotted for all employees on a chart similar to Figure 5. This plot relates contribution to compensation, and identifies the placement of each employee into one of three regions: inappropriately compensated-A region (above the rails), appropriately compensated region, or inappropriately compensated – B region (below the rails).

Normal Pay Range
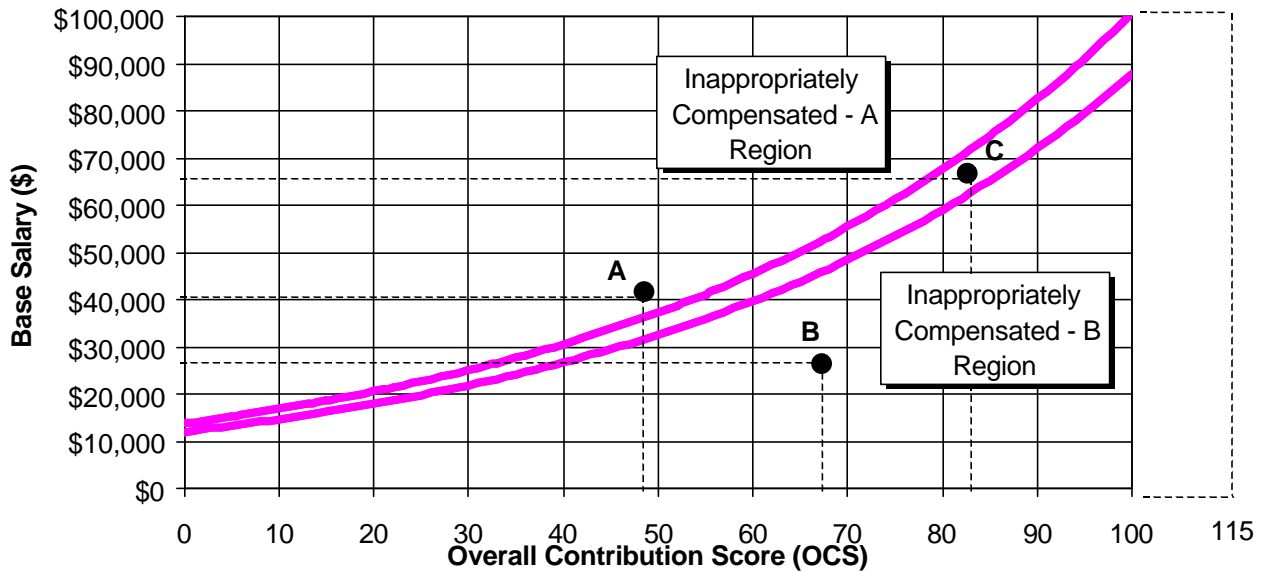
Figure 5. Compensation Regions Defined by NPR

In Figure 5, employee C is appropriately compensated (falls on or within the rails). Employee B is inappropriately compensated-B (falls below the lower rail) for his/her contribution to the organization. Employee A is in the inappropriately compensated-A region above the upper rail (i.e., receives high pay but is not contributing enough to justify the pay).

STEP 8. The pay pool manager, in consultation with the pay pool panel, determines the potential salary adjustment and contribution award for each employee. Table 1 illustrates the salary adjustments available for the three groupings of employees.

- All employees are entitled to the full locality pay.

- The appropriately compensated employee (employee whose contribution versus pay falls on or within the rails) must receive the full general pay increase, may receive a contribution rating increase of up to 6%, and may receive a contribution award. The contribution rating increase is included as a permanent increase in the base pay but the contribution award is a lump sum payment that does not affect base salary.

- The inappropriately compensated-A employee could be denied part or all of the general pay increase and will receive no contribution rating increase nor contribution award. The intent of the demonstration project is to allow managers to retain the ability to determine how much, if any, of the general pay increase an inappropriately compensated-A employee shall receive, on a case-by-case basis.

- The inappropriately compensated-B employee <u>must</u> receive the full general pay increase, <u>may</u> receive up to a 20% permanent increase in pay, and also <u>may</u> receive a contribution award.

Category	General Pay Increase	Contribution Rating Increase	Contribution Award	[1]Locality Pay
Inappropriately Compensated-A	Could be reduced or denied	NO	NO	YES
Appropriately Compensated	YES	YES[2] - Up to 6%	YES[5]	YES
Inappropriately Compensated-B	YES	YES[3,4] - Up to 20%	YES[5]	YES

[1] Basic pay plus locality pay may not exceed Executive Level IV basic pay.
[2] May not exceed upper rail of NPR for employee's OCS or maximum salary for current broadband level.
[3] Over 20% requires local commander's approval.
[4] May not exceed 6% above the lower rail or the maximum salary for current broadband level.
[5] Pay pool manager approves up to $10,000. Amounts exceeding $10,000 require local commander's approval

Table 1. Compensation Eligibility Chart
(originally depicted on page 22)

The amount of money available for contribution rating increases within a pay pool is determined by the general pay increase, money that would have been available for quality and within- grade step increases, and career promotions. Funds not distributed from the general pay increase and the contribution rating increase pools may be used to augment the contribution award pool. However, the awards money portion cannot be used for increments to salary. The contribution rating increase pool of money will be set at 2.4% the first year and will be a minimum of 2% thereafter. These floors represent a budgetary minimum amount; Components may set higher amounts within their budgetary limits. No ceiling amount is directed by these Operating Procedures.

The contribution award fund includes what were formerly performance awards. This pool will be used for awards given under the CCAS process. The fund will be set at not less than 1.0% of the activity's total salary budget. This breaks down as follows:
   a. Up to 90% of the total award budget will be set aside for the CCAS awards; and
   b. Up to 10% of the total award budget will be set aside for other awards throughout the year.

For the first year, the contribution award fund will be set at 1.3%, and the ratio of 9:1 will be allocated. Organizations that increase the CCAS award pool above the stated floors will maintain the 9:1 ratio.

These stated minimums are floors only; pay pool managers may increase the pool of money at their discretion, or as specified in local bargaining agreements, within approved budgetary limitations. Amounts above the minimum for the contribution rating increase and the contribution award pools are negotiable where employees participating in the demonstration project are represented by an appropriate labor organization.

One example of how a contribution award may be effectively used is when an employee's salary equals or exceeds the maximum salary of their assigned broadband level. Such an employee may not receive a contribution rating increase (CRI) as his/her salary would exceed the maximum salary of his/her broadband level. If, based upon his/her appraisal, the employee is eligible to receive a CRI, the amount that would have been paid out as a CRI, may be moved to the contribution award pool and paid out to that employee as a lump sum contribution award. (Additional funds could also be drawn from the contribution award pool and added to that amount so that the resulting contribution award recognizes the employee's contribution appropriately.)

Locality pay adjustments are not included in the pay pool but are incorporated in the demonstration project participants' pay. The dollar amount to be included in the pay pool will be computed based on the salaries of the employees in the pay pool as of 30 September each year.

If General schedule (GS) employees receive an increase under 5 U.S.C. 5303 that exceeds the amount otherwise required by that section on the publication date of the final *Federal Register* notice, the excess portion of such increase shall be paid to demonstration project participants in the same manner as to GS employees. The excess portion of such increase shall not be distributed through the pay pool process.

STEP 9.   The pay pool panel reviews the compensation adjustments for fairness and consistency with the contribution scores. If consensus cannot be reached, the pay pool manager decides.

STEP 10. Following the review, the pay pool manager officially approves the contribution scores and salary adjustments. Once the scores and salary adjustments have been approved, they are documented on Contribution-based Compensation and Appraisal System Salary Appraisal Form, Part I, see Appendix D. This form serves as the basis for individual discussions with the employees.

STEP 11. The rating official communicates the final OCS, factor scores and pay adjustments to each employee. Potential opportunities for increasing contribution for the upcoming appraisal period are also discussed. (Reference Appendix E for discussion with employee.) The rating officials and employee sign the original of the CCAS summary form and the employee receives a copy. This information will be maintained consistent with established agency procedures. The pay adjustments become effective the first full pay period in January.

The preceding steps are summarized in Figure 3, CCAS Process.

6.4.4 Salary Adjustment Guidelines via Relative Score. In order to ensure equitable distribution of funds, employees may be listed by their "relative score." Relative score (RS) is a measure of the relative distance from the middle of the NPR (the standard pay line (SPL)). RS is calculated as follows:

Relative Score % = [(Current base salary) - (SPL)/(SPL)*100

See Appendix F for relative score example in detail. All employees may be ordered highest to lowest by their relative scores and those at the top of the list should receive the greatest percentage compensation adjustments.

6.4.5 Pay Adjustments. Pay adjustments are based on the CCAS appraisal and the employee's current salary. Pay adjustments will be documented by an official personnel action. For historical and analytical purposes, the effective date of CCAS assessments, actual appraisal scores, actual salary increases, and applicable contribution award amounts must be maintained for each demonstration project employee. Contribution rating increase will be documented using a nature of action code (NOAC) 894. Contribution awards will be documented as specified in Appendix G.

6.4.5.1 Traditional Pay Plan and Grade. Traditional pay plan and grade must be considered for recording in DCPDS.

6.5 Factor Weighting.   The descriptors are written so that all factors are weighted equally. If pay pool panel members/managers agree that some factors are more important than others to effectively accomplish the organization's mission, they may establish factor weights. However, contribution in all six factors is important to ensure the individual's career growth and the overall success of the organization's mission, as well as to develop the attributes of the acquisition workforce. Therefore, weights should be used sparingly.

At the discretion of the pay pool manager, different weights may be applied to the factors to produce a weighted average, provided that the weights are applied uniformly across the pay pool. Weights must be consistent within the job category. The rating official must inform the employee of weights at the beginning of the rating period. Weights must be reviewed annually. All factors are considered critical and none may be given a weight of less than 0.5.

When using weights, OCS is determined by multiplying the score for each factor by the associated weight, adding the results, and then dividing by the sum of the weights.

The following parameters are provided for weighting factors:
        -- Weights may be assigned any value, in increments of 0.1 from 0.5 to 1.0.
        -- At least three factors must have a weight of 1.0

MARCORSYSCOM 6.5 Factor Weighting. Assume that a pay pool manager decides that employees in the XXX series will not be required to contribute as fully in the areas of communication and resource management as they will in the other four factors. The pay pool manager is authorized to weight these two factors differently than the others. In this example,

the weights 1.0, 1.0, 1.0, 1.0, 0.7, and 0.5, are applied to the six factors for all XXX series in the pay pool. Refer to the column headed "Factor Weights" in MARCORSYSCOM Table 6-2.

A given XXX series employee from this hypothetical pay pool receives CCAS scores of 70, 63, 74, 62, 64, and 57. MARCORSYSCOM Table 6-2 contains an illustration of how the overall average CCAS score for this individual is computed. The average CCAS scores, corresponding to weighted and unweighted (i.e., unit weighted) scores, are computed. (The average CCAS scores calculation required when weights are not used has been included for reference only.) In this example, the employee's actual overall/average CCAS score would be 65.8 (rounded up to 66). Please remember that the same set of weights would be applied to all other XXX series in the pay pool.

Factor	Numerical Contribution Score	Unweighted Multiplier	Unit Weight Score	Factor Weights	Weighted Score
Problem Solving	70	1.0	70	1.0	70
Teamwork/ Cooperation	63	1.0	63	1.0	63
Customer Relations	74	1.0	74	1.0	74
Leadership/ Supervision	62	1.0	62	1.0	62
Communication	64	1.0	64	0.7	44.8
Resource Management	57	1.0	57	0.5	28.5
SUM		6.0	390	5.2	342.3
AVG			= 390/6.0		= 343.3/5.2
			65		65.8
Weighting Example – MARCORSYSCOM Table 6-2					

MARCORSYSCOM Table 6-2

6.6 CCAS Grievance Procedures. Bargaining unit employees who are covered under a collective bargaining agreement may grieve CCAS pay determinations under the grievance-arbitration provisions of the agreement.

Other employees who are not included in a bargaining unit, or who are in a bargaining unit but grievances over OCS are not covered under negotiated grievance procedure, may utilize the appropriate administrative grievance procedure (5 CFR Part 771), with supplemental instructions) as follows:

(a) The employee submits the grievance first to the rating official who submits a recommendation to the pay pool panel.

(b) The pay pool panel accepts the rating official's recommendation or reaches an independent decision. In the event that the pay pool panel's decision is different from the rating official's recommendation, written justification shall be provided to both the rating official and the employee.

(c) The pay pool panel's decision is final unless the employee requests reconsideration by the next higher official to the pay pool manager. That official would then render the final decision on the grievance.

MARCORSYSCOM 6.6 CCAS Grievance Procedures. An employee may grieve CCAS OCS (rating of record). The negotiated grievance system will be used by employees as follows:
    (a) The employee submits his/her grievance to the rating official who forwards the grievance, along with the rating official's recommendation, to the pay pool panel. The employee must file this grievance no later than 15 days following the act or event that the employee believes created the problem, or within 15 days following receipt of the rating.

(b) The pay pool panel considers the grievance and the rating official's recommendation. A written decision is provided with a copy to the employee and the rating official, within 60 days from the filing of the grievance.

(c) If an employee is dissatisfied with the pay pool panel's decision, within 15 days he or she may request reconsideration with the next higher official to the pay pool manager. That official would render a final and binding decision on the grievance.

6.7 Records

6.7.1 Supervisors Records. Supervisors may maintain a copy of all forms used in the evaluation process. In accordance with DoD component or locally established personnel procedures, or an applicable bargaining unit agreement, the supervisor provides the employee with a copy of his/her signed appraisal and forwards a copy to the appropriate personnel office. *(Note: A copy of the employee appraisal will be maintained with the supervisor's record of the employee.)*

6.7.2   Official Personnel File The servicing personnel organization must appropriately file a copy of the annual employee appraisal.

6.7.3 CCAS Program Data. CCAS program data produced through the CCAS software program will be maintained by the pay pool manager for at least five years or the life of he demonstration project, which ever is less. All software documents should be annotated "Subject to Privacy Act".

6.8. Software

6.8.1   Management Tool The CCAS software program is a management tool to assist supervisors and pay pool managers in the annual assessment process for administering CCAS. It

aids in determining OCSs, resultant pay adjustments, and contribution awards amounts. The CCAS software program duplicates the manual CCAS process described in paragraph 6.4. It allows pay pool managers to compile and review the OCS of all employees in the pay pool. Additionally, it allows supervisors and pay pool managers to compile and adjust awards distributions within available funding. It contains built-in criteria to guide the process to ensure that payout decisions made within budgetary constraints and CCAS principles and rules are observed.

6.8.2 Interface with Defense Civilian Personnel Data System (DCPDS) The program is designed to interface with DCPDS. Centrally maintained employee data for the pay pool members is downloaded to form the baseline data for the CCAS software program. Once the pay pool managers have approved the OCS, pay adjustments, and awards decisions, the CCAS program data will be uploaded to the DCPDS to update individual employee official personnel records. As this is the only data uplink to DCPDS, pay pool managers who do not use the CCAS software package to determine OCS, pay adjustments, and contribution awards will have to manually input the approved distributions into the program.

6.8.3 Determination of Rails The CCAS software program uses the OPM-established annual General Schedule pay scale to determine the upper and lower rails and the standard pay line of the NPR (See Figure 2). In January of each year, the rails will be set using the general pay increase (GPI) authorized. The OSD demonstration project office is responsible to ensure the CCAS software is updated accordingly.

6.8.4 Release of CCAS Assessment Information. Pay pool managers and supervisors must ensure the employee information contained in the program is safeguarded during the CCAS assessment process. The Privacy Act applies to release of the data once it is finalized by the approval authority. Pay pool managers are encouraged to convey the outcomes of the CCAS assessment process, in the aggregate, to employees within their pay pool. This may be done, for example, by distribution of a scattergram depicting the OCS plot both before and after salary adjustment.

6.8.5 CCAS Software Description (See Appendix I for details). The software package provides both tabular and graphic displays and a set of tools to help pay pool managers carry out their responsibilities. Built into the software is a standard algorithm that pay pool managers may use to set pay. The general increase is automatic for everyone in a pay pool, except those in the inappropriately compensated-A region. The algorithm can be used to allocate some, part, or all of the pay pool's contribution awards.

The default algorithm allocates the contribution rating increase to those individuals below the SPL. After each person has received a new contribution assessment score, their current basic pay (in dollars per year) is compared to what the SPL indicates they should be earning for their level of contribution; the difference is calculated and called the delta. Those above the SPL will have a positive delta, and those below the SPL will have a negative delta. The default algorithm adds up all of the negative deltas in the pay pool and divides the sum into the budget the pay pool manager has allocated to the algorithm. This produces a ratio that indicates what portion of each individual's delta can be "paid off" within the available budget. For example, if the sum of the

negative deltas in a pay pool is $100,000 and the available budget is $50,000, then each inappropriately (below the rail) compensated person will be eligible to receive a contribution rating increase equal to half of their delta. If the ratio is greater than 1.0, the default algorithm truncates it to 1.0, so that employees in the inappropriately compensated-A region are not further advanced within their broadband levels.

The software ensures that no one exceeds the maximum basic pay rate for the demonstration (equivalent to GS-15 step 10 pay) and that those individuals below the lower rail (inappropriately compensated-B region) receive a percentage contribution rating increase as required by the final *Federal Register* notice. The software also automatically provides for the payment of contribution awards to employees who already receive the maximum allowable pay rate for their broadband levels.

The default algorithm is designed to adjust pay in a uniform manner, while staying within the pay pool manager's budget and complying with the demonstration project requirements. Should the pay pool manager choose to use some other method of determining contribution rating increases (e.g., an *Excel* spreadsheet), those increases must be manually entered into the CCAS software, since the software provides the linkage back to the personnel and payroll data systems.

Chapter 7 - CONTRIBUTION-BASED ACTIONS

7.1 Introduction. This chapter applies to reduction in pay or removal of demonstration project employees based on inadequate contribution. Inadequate contribution in any one factor at any time during the appraisal period is considered grounds for initiation of reassignment, reduction in pay, or removal action. Inadequate contribution can also result at the time of the annual appraisal if the OCS falls in the inappropriately compensated-A region. Supervisors should consult with their servicing personnel office when considering any action described in this chapter.

An objective of the Contribution-based Compensation and Appraisal System (CCAS) is to properly pay employees for their contribution to the mission. The demonstration project provides that employees may be reassigned, their pay may be reduced, or they may be removed from the Federal Service based on a determination of inadequate contribution. This is similar to the authority for identifying poor performers under the current Federal Government-wide personnel system. CCAS is a contribution-based appraisal system that goes beyond a performance-based rating system. Contribution is measured against six critical factors, each having levels of increasing contribution corresponding to the three career paths. (For the purposes of this chapter, "critical factors" are synonymous with "critical elements" as defined in 5 U.S.C. Chapter 43.). Pay is set according to paragraph 5.5 for actions taken under this chapter.

7.2 Identification. At the end of the rating period, if an employee's OCS (rating of record) falls above the upper rail of the normal pay range (Figure 2), the rating official shall make an assessment as to whether or not action is necessary. There are two scenarios under which an employee may be determined to be contributing inadequately, and the rating official must consider which scenario is appropriate to the situation at hand.

If it is determined that the employee's contribution in any factor is at or less than the midpoint of the next lower broadband level (or a factor score of zero for broadband level I employees), the employee is considered to be contributing inadequately. In this case, the supervisor must inform the employee, in writing, that unless the contribution increases to a score above the midpoint of this next lower broadband level (thereby meeting the standards for adequate contribution), and is sustained at this level, the employee may be reduced in pay or removed. For broadband level I employees, a factor score that increases to and is sustained above zero is determined to be adequate. This written notification will include a contribution improvement plan (CIP) discussed in paragraph 7.3.1.

Additionally, when an employee's contribution plots in the area above the upper rail of the normal pay range, the employee is considered to be contributing inadequately. In this case, the supervisor has two options. The first is to take no action but to document this decision in a memorandum for the record. A copy of this memorandum will be provided to the employee and to higher levels of management. The second option is to inform the employee, in writing, that unless the contribution increases to, and is sustained at, a higher level, the employee may be reduced in pay or removed.

These provisions in the two-preceding paragraphs also apply to an employee whose contribution deteriorates during the year. In such instances, the group of supervisors (pay pool panel) who meet during the CCAS assessment process may reconvene any time during the year to review the circumstances warranting the recommendation to take further action on the employee.

7.3 Required Actions.

7.3.1 Notice to Employee and Initiation of Contribution Improvement Plan. When the rating official informs the employee in writing that the employee may be reduced in pay or removed, the rating official will afford the employee a reasonable opportunity (a minimum of 60 days) to demonstrate adequate contribution with regard to one or more factors in which the employee is deficient. This written notification will include a contribution improvement plan (CIP) which outlines specific areas in which the employee is inadequately contributing, and what improvements are required. Additionally, the CIP must include standards for adequate contribution, actions required of the employee, the time in which they must be accomplished to increase and sustain the employee's contribution at an adequate level, what assistance the agency shall offer to the employee in improving inadequate contribution; and the consequences to the employee if he/she fails to improve.

7.3.2 Action Upon Completion of Reasonable Opportunity to Demonstrate Acceptable Contribution. Once an employee has been afforded a reasonable opportunity to demonstrate adequate contribution, but fails to do so, a reduction in pay (which may include a change to a lower broadband level, and/or reassignment) or removal action may be proposed. If the employee's contribution increases to an adequate level and is again determined to deteriorate in any factor within two years from the beginning of the opportunity period, actions may be initiated to effect reduction in pay or removal with no additional opportunity to improve. If an employee has contributed acceptably for two years from the beginning of the opportunity period, and the employee's overall contribution once again declines to an inadequate level, the employee will be afforded an additional opportunity to demonstrate adequate contribution before it is determined whether or not to propose a reduction in pay or removal. An employee whose reduction in pay or removal is proposed, is entitled to a 30 day advance notice of the proposed action that identifies specific instances of inadequate contribution by the employee on which the action is based. The employee shall be afforded a reasonable time (usually five business days) to answer the notice of proposed action orally and/or in writing. Employees covered by a bargaining unit may have a different advance notice period.

7.4 Decision to Take Contribution-based Action. A decision to reduce pay (which may include a change to a lower broadband level, and/or assignment) or remove an employee for inadequate contribution shall be based only on those instances of inadequate contribution that occurred during the two-year period ending on the date of issuance of the proposed action. The employee shall be issued written notice of decision to take a contribution-based action at or before the time the action will be effective. Such notice specifies the instances of inadequate contribution by the employee on which the action is based and informs the employee of any applicable appeal or grievance rights.

7.5 Documentation. All relevant documentation concerning a reduction in pay or removal that is based on inadequate contribution shall be preserved and made available for review by the affected employee or designated representative. At a minimum, the records consist of a copy of the notice of proposed action; the written answer of the employee or a summary thereof when the employee makes an oral reply; and the written notice of decision and the reasons therefore along with any supporting material including documentation regarding the opportunity afforded the employee to demonstrate increased contribution.

When the action is not taken because of contribution improvement by the employee during the notice period, the employee is not reduced in pay or removed, and the employee's contribution continues to be deemed adequate for two years from the date of the advanced written notice, any entry or other notation of the proposed action shall be removed from all records relating to the employee.

7.6 Appeals. The above procedures replace those established in 5 U.S.C. 4303 pertaining to reductions in grade or removal for unacceptable performance except with respect to appeals of such actions. 5 U.S.C. 4303(e) provides the statutory authority for appeals of contribution-based actions which shall be sustained if the decision is supported by substantial evidence. The Merit Systems Protection Board shall not have mitigation authority with respect to such actions. The separate statutory authority to take contribution-based actions under 5 U.S.C. 75, as modified in waivers granted to this demonstration project, remains unchanged by these procedures.

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Chapter 8 - REALIGNMENT INITIATIVE [Note: This item is reserved for final evaluation.]

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Chapter 9 - ACADEMIC DEGREE AND CERTIFICATE TRAINING

9.1 Introduction. The purpose of this initiative is to facilitate continued training and development under this demonstration project. Trained and educated personnel are a critical resource in an acquisition organization, and developing and maintaining these skills is essential.

9.2 Provisions. Currently, DAWIA authorizes degree and certificate training for acquisition-coded positions through the year 2001. This demonstration project extends that authority for the duration of this demonstration and expands its coverage to the acquisition support positions identified in this demonstration project. It also provides authorization at the local level to administer and pay for these degree and certificate training programs. Funding for this training is the responsibility of the participating organization. Funds availability must be considered when granting approval.

MARCORSYSCOM 9.2 Provisions. The Commander has established the Demonstration Tuition Assistance Program (DTAP) to assist with the funding of degree and certification training programs that support the educational development of personnel filling acquisition coded and support positions. DTAP is subject to available funding and will require participants to sign continued service agreements.

MARCORSYSCOM 9.2.1 Acquisition Coded Positions. DTAP will supplement funding from the Acquisition Workforce Tuition Assistance Program (AWTAP) for personnel filling acquisition coded positions once the individual has exhausted all funding available from AWTAP. Those personnel in acquisition coded positions who are ineligible for AWTAP funding may apply for tuition assistance from DTAP in which case the provisions of paragraph *MARCORSYSCOM 9.2.2 Acquisition Support Positions* apply.

MARCORSYSCOM 9.2.2 Acquisition Support Positions. Funding through DTAP will be provided for individual courses so long as the course directly relates to the individual's current or anticipated duties. Funding will also be provided for <u>all courses</u> that are a part of a degree or certification training program so long as the degree or certification program supports the individuals current or anticipated duty requirements. In these cases, the employee will be required to have in place an approved Individual Plan of Academic Study (IPAS). The IPAS must be reviewed and approved by the first line supervisor and the Command Education & Training Officer prior to the approval of any requests for courses that are not directly related to the employees duties.

9.3 Implementation. Local authority to implement this portion of the demonstration project will rest with the installation Commander, Executive Director or equivalent, or his/her designee. Funding and administration, including establishment of any local constraints and procedures, will be the responsibility of this local authority. Local procedures should seek to ensure that employees are selected for educational programs leading to degrees or certificates in a manner that is fair and equitable. Additionally, selected employees may be required to sign continued service agreements when necessary to protect significant Government interests. Participating DoD Component headquarters are encouraged to issue guidance to the field on these matters.

MARCORSYSCOM 9.3 Implementation. Detailed procedures for the implementation of the DTAP will be published under separate cover. In all cases however, the following applies:

- Funding for programs or courses above the graduate level require PM/Director endorsement/justification and Deputy Commander approval.
- Funding will be provided for tuition only. The cost of books, registration fees, local travel expenses etc. is the responsibility of the individual and will not be reimbursed.
- The use of community college courses that matriculate into four (4) year degree programs will be maximized whenever possible.
- For individual courses (employees who are not in a pre-approved degree or certificate program) funding will only be provided so long as the employee attains:
  - •• B or better in a graduate level class
  - •• C or better in an undergraduate level class
- For students in a pre-approved degree or certificate program, funding will be provided as long as the student remains in a satisfactory academic standing with the academic institution. Funding will be suspended whenever a student is put on academic probation by the academic institution.
- Students will be required to reimburse the government for any course the student fails to successfully complete or fails to meet the above criteria.
- No funding will be provided for noncredit courses or course that are not contained in the IPAS as appropriate.
- No funding will be provided for the attainment of credits through life study or associated programs.

Chapter 10 - SABBATICALS

10.1 Introduction. The purpose of this initiative is to provide local organizations the authority to grant sabbaticals to employees participating in the Acquisition Demonstration Project. Sabbaticals will permit demonstration project employees to engage in study or work experience that will contribute to their individual development and the organization's effectiveness. The sabbatical provides opportunities for an employee to acquire knowledge and expertise that cannot be acquired in the standard working environment. Potential uses of the sabbatical include training with industry; on-the-job work experience with public, private or nonprofit organizations; participating in an academic or industrial environment; or devoting full-time effort to technical or managerial research.

10.2 Implementation. Local authority to implement this portion of the demonstration project will rest with the installation Commander, Executive Director, or equivalent, or his/her designee. Funding and administration, including designation of any local constraints and procedures for selection of participants, will be the responsibility of this local authority.

Local authority must establish procedures by which employees apply for this program and management accepts/selects participants. Generally, it is expected that application to this program will be made by the employee through the chain-of-command to the employee's installation Commander, Executive Director or equivalent, who will have final approval authority and who will ensure that the activity contributes to the organization's mission and to the employee's development.

10.3 Constraints. Local authorities may make the sabbatical available to any demonstration project employee who has seven or more years of any Federal service in any Agency. Each sabbatical may be of three to twelve months in duration and must result in a product, service, report, or study that will benefit the acquisition community, as well as increase the employee's individual effectiveness.

The only constraint imposed by the demonstration project on potential sabbatical activity is that the activity must contribute to the organization's mission and the employee's development. Local authorities should specify any other constraints necessary, such as frequency of sabbaticals and requirements for a continued service agreement, to ensure that local requirements and training policies are met.

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Chapter 11 - VOLUNTARY EMERITUS PROGRAM

11.1 Introduction. Periodically, Commanders/Directors will have the need to temporarily retain the services of retired or separated individuals. The purpose of this initiative is to provide a means for such individuals to continue working on a project for a specified period of time while taking advantage of the retirement or buy-out opportunity. This initiative is geared only to individuals whose series are included in the Business Management and Technical Management career path who choose to accept retirement or buyout opportunities, yet wish to continue working on a project for a defined period of time. Such individuals could also provide valuable on-the-job training or mentoring to less experienced employees. Voluntary Emeritus Program volunteers will not be permitted to monitor contracts on behalf of the Government, but may participate on any contract if no conflict of interest exists. The volunteer may be required to submit a financial disclosure form annually and will not be permitted to participate on any contracts where a conflict of interest exists. The same rules that apply to source selection members will apply to volunteers

11.2 Eligibility. To be selected for a voluntary emeritus assignment, an employee must be recommended to the decision-making authority by one or more acquisition managers/supervisors. No one who applies is entitled to a voluntary emeritus assignment. To encourage participation, the volunteer's Federal retirement pay (whether military or civilian) or buy-out or severance payment based on earlier separation from Federal Service will not be affected while the volunteer is serving in a emeritus status. This program may not be used to replace or substitute for work performed by civilian employees occupying regular positions required to perform the mission of the command.

11.3 Implementation Procedures. Local authority to implement this initiative rests with the Commander, Executive Director, or equivalent, or his/her designee. Any funding and administration, including designation of any local constraints and procedures for selection of volunteers, will be the responsibility of this local authority. Among other issues, these local procedures should address security clearance requirements for performance of voluntary emeritus assignments (e.g., if a selectee would require a security clearance for such an assignment, the clearance should be obtained while the selectee is still a Federal employee.)

11.3.1 Application to Participate. An employee interested in applying for a volunteer emeritus assignment must submit a written request to the appropriate supervisor which includes the reasons for wanting to volunteer, what he/she hopes to contribute to the mission, and a brief statement of relevant experience.

MARCORSYSCOM 11.3.1 Application to Participate. The employee should apply for the program before retirement, and therefore before the security clearance becomes void. The clearance will be maintained for the length of the volunteer emeritus assignment.

11.3.2 Approval. The supervisor will review the package and indicate recommendation to approve or disapprove, including the justification for the position taken. The supervisor's recommendation will be forwarded to the local authority for final consideration and decision. If the recommendation is approved, a volunteer work agreement will be formalized as shown in Appendix J.

11.3.3 Authorization. After reviewing the request containing the recommendation from the supervisor, the local authority will inform the applicant of the decision. If unfavorable, the applicant will be informed in writing of the reasons for non-selection. If favorable, the local authority will sign the volunteer work agreement and return it to the supervisor. The applicant will be notified in writing of his/her selection for the Voluntary Emeritus Program. All documentation of the selection decision process for each applicant (whether accepted or rejected) must be in writing and be retained throughout the assignment. Documentation of rejections will be maintained for at least two years after the date of decision.

Chapter 12 - REVISED REDUCTION-IN-FORCE (RIF) PROCEDURES

12.1 Introduction. RIF shall be conducted according to the provisions of 5 CFR 351, except as otherwise specified below.

12.2 Displacement. For the purposes of this demonstration project, displacement means the movement via RIF procedures of a fully qualified employee into a position held by an employee of lower retention standing in the same or lower broadband level.

12.3 Competitive Area. All positions participating in the demonstration project within a given Component and located within the same commuting area may be considered a separate competitive area. Alternatively, Components may establish all or part of the Component at a given geographic location as a competitive area. In any event, employees under this demonstration shall be placed in a different competitive area from employees who are not covered.

12.4 Adjusted Service Computation Date. Employees are entitled to additional years of retention service credit in RIF, based on appraisal results. This credit will be based on the employee's three most recent annual overall contribution scores (OCSs) of record received during the four-year period prior to the issuance of RIF notices. However, if at the time RIF notices are issued, three CCAS cycles have not yet been completed, the annual performance rating of record under the previous performance management system will be substituted for one or more OCSs, as appropriate. Years of retention for a previous performance management system will be accomplished by comparing pattern "E" of the CFR 430.208(d) (the OCS pattern) to the non-OCS rating and assigning the appropriate retention credit to the rating as follows:

Retention Service Credit	Appraisal Rating Level
20	Outstanding or equivalent, Level 5
16	Highly Successful or equivalent, Level 4
12	Fully Successful or equivalent, Level 3
0	Unsuccessful, Level 1

   An employee who has received at least one but fewer than three previous ratings of record shall receive credit for performance on the basis of the value of the actual rating(s) of record divided by the number of actual ratings received. Employees with three OCS or performance ratings shall receive credit for performance on the basis of the value of the actual ratings of record divided by three. The score derived by this method will be rounded up to the next whole number. In cases where an individual employee has no annual OCS or performance rating of record , an average OCS or performance rating will be assigned and used to determine the additional service credit for that individual. (The average rating is derived from the current ratings of record for the employees in the individual's career path and broadband level within the competitive area affected by the given RIF). Table 8 (See Chapter 13) shows the years of retention service credit associated with appraisal results.

12.5 **Master Retention List.** When a competing employee is to be released from his/her position, the activity shall establish separate master retention lists for the competitive and excepted services, by type of work schedule and (for excepted service master retention lists) by appointing authority.

12.6 **Order of Retention.** Within the above groups, competing employees shall be listed on the master retention list in descending retention standing order as defined by their tenure, veterans' preference, and length of service as determined by their adjusted service computation date (see 12.4, above). Employees will be listed as follows: By tenure group I, group II, group III; within each group by veterans' preference subgroup AD (preference eligible employees with a compensable service-connected disability of 30 percent or more), subgroup A (other preference eligible employees), subgroup B (non-preference eligible employees); and, within each group, by length of service as determined by the adjusted service computation date, beginning with the earliest service date.

12.7 **Reduction-in-Force Placement Process.** Employees will be ranked in order of their retention standing, beginning with the most senior employee. This employee may displace an employee of lower retention standing occupying a position that is at the same or lower broadband level and is in a series for which the senior employee is fully qualified. (This includes a series in a different career path from the one the employee currently occupies, if that employee is fully qualified.) The undue interruption standard of 5 CFR 351.403(a)(1) shall serve as the criterion to determine if an employee is fully qualified. In addition, to be fully qualified, the employee must meet DAWIA statutory requirements for the position, if applicable. (However, statutory waivers shall continue to apply.) The displaced employee must be appointed under the same authority, if excepted service, and in the same work schedule. Offer of assignment shall be to the position that requires no reduction or the least possible reduction in broadband. Where more than one such position exists, the employee must be offered the position encumbered by the employee with the lowest retention standing. See Tables 5 - 7, RIF Displacement Entitlements.

12.8 **Displacement Rights.** Displacement rights are normally limited to one broadband level below the employee's present position. However, a preference eligible employee with a compensable service-connected disability of 30 percent or more may displace up to two broadband levels below the employee's present position (or the equivalent of five General Schedule grades below the employee's present level).

12.9 **Pay Retention.** Employees covered by the demonstration are not eligible for grade retention. Pay retention will be granted to employees downgraded by reduction-in-force whose rate of basic pay exceeds the maximum salary range of the broadband level to which assigned. Such employees will be entitled to retain the rate of basic pay received immediately before the reduction, not to exceed 150% of the maximum salary of the lower broadband level.

12.10 **Reduction-in-Force Appeals.** Under the demonstration project, all employees affected by a reduction-in-force action, other than a reassignment, maintain the right to appeal to the Merit Systems Protection Board (MSPB) if they believe the process/procedures were not properly applied.

12.11 Vacant Positions. Prior to RIF, employees may be offered a vacant position in the same broadband as the highest broadband available by displacement. Employees may also be offered placement into vacant positions for which management has waived the qualifications requirements. If the employee is not placed into a vacant position and cannot be made an offer of assignment via displacement, the employee shall be separated.

RIF Displacement Entitlements[1] for the Business Management and Technical Management Professional (NH) Career Path

If employee is in		Then employee may displace another employee in[2]		Remarks
Career Path	BBL	Career Path	BBL	
Business Management and Technical Management Professional **(NH)**	I	Prof (NH)	I	Current Prof BBL--no lower BBLs
		Tech (NJ)	I	
		Admin (NK)	I	
	II	Prof (NH)	II and I	Current and lower Prof BBLs
		Tech (NJ)	III, II, and I	Encompasses current and lower Prof BBL grades
		Admin (NK)	III, II, and I	Encompasses current and lower Prof BBL grades
	III	Prof (NH)	III and II	Current and lower BBL
		Tech (NJ)	IV and III	Encompasses current and lower Prof BBL grades
		Admin (NK)	III	Encompasses lower Prof BBL grades
	IV	Prof (NH)	IV and III	Current and lower BBLs
		Tech (NK)	IV	Encompasses lower Prof BBL grades

Career Path and GS Grades

Bus. Mgmt & Tech Prof (NH)	BBL I (GS 1-4)	BBL II (GS 5-11)		BBL III (GS 12-13)	BBL IV (GS 14-15)

Technical Mgmt Support (NJ)	BBL I (GS 1-4)	BBL II (GS 5-8)	BBL III (GS 9-11)	BBL IV (GS 12-13)

Administrative Support (NK)	BBL I (GS 1-4)	BBL II (GS 5-7)	BBL III (GS 8-10)

[1] Entitlements are based on the range of GS grades encompassed by each Career Path BBL. Employees have no displacement entitlement to a BBL in another career path that would result in greater GS grade/pay potential than the employee's current Career Path and BBL confers (see Chapter 5). Employees also have no displacement entitlement to a BBL in another career path that encompasses a lower GS grade/pay rate than the next lower BBL in the employee's current career path.

[2] Preference-eligible (Veteran) employee with a compensable service-connected disability of 30 percent or more may displace up to two BBLs below the employee's present BBL (equivalent of five GS grades).

Table 5
RIF Displacement Entitlements for the Business Management and Technical Management Professional (NH) Career Path

RIF Displacement Entitlements[1] for the Technical Management Support (NJ) Career Path

If employee is in		Then employee may displace another employee in[2]		Remarks
Career Path	BBL	Career Path	BBL	
Technical Management Support	I	Tech (NJ)	I	Current BBL--no lower BBL
		Prof (NH)	I	
		Admin (NK)	I	
(NJ)	II	Tech (NJ)	II and I	Current and lower Tech BBLs
		Prof (NH)	I	Encompasses lower Tech BBL grades - No current Tech BBL equivalent
		Admin (NK)	II and I	Encompasses lower Tech BBL grades - No current Tech BBL grades
	III	Tech (NJ)	III and II	Current and lower Tech BBLs
		Prof (NH)	II	Encompasses current and lower Tech BBL grades
		Admin (NK)	III and II	Encompasses lower Tech BBL grades - No current Tech BBL grades
	IV	Tech (NJ)	1V and III	Current and lower Tech BBLs
		Prof (NH)	III and II	Encompasses current and lower Tech BBL grades
		Admin (NK)	III	Encompasses grades of lower Tech BBL

Career Path and GS Grades

Bus. Mgmt & Tech Prof (NH)	BBL I (GS 1-4)	BBL II (GS 5-11)		BBL III (GS 12-13)	BBL IV (GS 14-15)

Technical Mgmt Support (NJ)	BBL I (GS 1-4)	BBL II (GS 5-8)	BBL III (GS 9-11)	BBL IV (GS 12-13)

Administrative Support (NK)	BBL I (GS 1-4)	BBL II (GS 5-7)	BBL III (GS 8-10)

[1] Entitlements are based on the range of GS grades encompassed by each Career Path BBL. Employees have no displacement entitlement to a BBL in another career path that would result in greater GS grade/pay potential than the employee's current Career Path and BBL confers (see Chapter 5). Employees also have no displacement entitlement to a BBL in another career path that encompasses a lower GS grade/pay rate than the next lower BBL in the employee's current career path.

[2] Preference-eligible (Veteran) employee with a compensable service-connected disability of 30 percent or more may displace up to two BBLs below the employee's present BBL (equivalent of five GS grades).

Table 6
RIF Displacement Entitlements for the Technical Management Support (NJ) Career Path

RIF Displacement Entitlements[1] for the Administrative Support (NK) Career Path

If employee is in		Then employee may displace another employee in[2]		Remarks
Career Path	BBL	Career Path	BBL	
Administrative Support **(NK)**	I	Admin (NK)	I	Current BBL--no lower BBL
		Prof (NH)	I	
		Tech (NJ)	I	
	II	Admin (NK)	II and I	Current and lower Admin BBLs
		Prof (NH)	I	Encompasses lower Admin BBL grades - No current BBL match
		Tech (NJ)	I	Encompasses lower Admin BBL grades - No current BBL match
	III	Admin (NK)	III and II	Current and lower Admin BBLs
		Prof (NH)	No entitlement	No Prof BBL encompasses current and/or lower Admin BBL grades
		Tech (NJ)	II	Encompasses one current Admin BBL grade and lower Admin BBL grades

Career Path and GS Grades

Bus. Mgmt & Tech Prof (NH)	BBL I (GS 1-4)	BBL II (GS 5-11)		BBL III (GS 12-13)	BBL IV (GS 14-15)

Technical Mgmt Support (NJ)	BBL I (GS 1-4)	BBL II (GS 5-8)	BBL III (GS 9-11)	BBL IV (GS 12-13)

Administrative Support (NK)	BBL I (GS 1-4)	BBL II (GS 5-7)	BBL III (GS 8-10)

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[1] Entitlements are based on the range of GS grades encompassed by each Career Path BBL. Employees have no displacement entitlement to a BBL in another career path that would result in greater GS grade/pay potential than the employee's current Career Path and BBL confers (see Chapter 5). Employees also have no displacement entitlement to a BBL in another career path that encompasses a lower GS grade/pay rate than the next lower BBL in the employee's current career path.

[2] Preference-eligible (Veteran) employee with a compensable service-connected disability of 30 percent or more may displace up to two BBLs below the employee's present BBL (equivalent of five GS grades).

Table 7
RIF Displacement Entitlements for the Administrative Support (NK) Career Path

Chapter 13 - MOVEMENT OUT OF THE DEMONSTRATION PROJECT

13.1 Introduction. This chapter describes procedures for movement of employees out of the demonstration project and their conversion to the General Schedule.

If a demonstration project employee is moving to a General Schedule (GS) position not under the demonstration project, or if the project ends and each project employee must be converted back to the GS system, the following procedure will be used to convert the employee's project pay band to a GS grade and the employee's demonstration project rate of pay to a GS rate of pay.

The converted GS grade and GS rate of pay must be determined before movement or conversion out of the demonstration project and any accompanying geographic movement, promotion, or other simultaneous action. For conversions upon termination of the project and for lateral assignments, the converted GS grade and rate will become the employee's actual GS grade and rate after leaving the demonstration project (before any other action). For transfers, promotions, and other actions, the converted GS grade and rate may be used in applying any GS pay administration rules applicable in connection with the employee's movement out of the project (e.g., promotion rules, highest previous rate rules, pay retention rules) as if the GS converted grade and rate were actually in effect immediately before the employee left the demonstration project. In the case of transfer or promotion out of the demonstration project, pay setting is the responsibility of the gaining agency. However, the losing agency will document the GS grade and step the employee would be at if the demonstration project ended at the time the termination SF50 is issued.

13.2 Grade-Setting Provisions. Each broadband level in this demonstration encompasses two or more grades. An employee is converted to one of the grades in their current broadband level according to the following rules:

(a) The employee's adjusted rate of pay under the demonstration project, which includes any locality payment, is compared with the step four rate in the highest applicable GS rate range. For this purpose, a GS rate range includes a rate range in (1) the GS base schedule; (2) locality rate schedule for the locality pay area in which the position is located; or (3) the appropriate special rate schedule for the employee's occupational series, as applicable. If the series is a two-grade interval series, only odd-numbered grades are considered below GS-11.

(b) If the employee's adjusted demonstration project rate of pay equals or exceeds the applicable step four rate of the highest GS grade in the band, the employee is converted to that grade.

Example of an employee whose salary equals or exceeds Step 4 of the highest grade:

The individual is a Business Management & Technical Management Professional Broadband III employee with a salary of $63,000.

BBL III $43,867(Min)---X---------$67,827(Max)
$63,000

Conversion:
- Compare $63,000 to Step 4 of the highest grade in the broadband: GS-13, Step 4 = $56,103
  - $63,000 is equal to or greater than $56,013
  - Therefore, assign as a GS-13
  - $63,000 is between GS-13, Step 8 pay at $62,903 and Step 9 pay at $64,603
  - Therefore assign Step 9 which is equal to $64,603
- Convert employee out of the Demo as a GS-13, Step 9

(Example used 1997 GS Salary Table)   MARCORSYSCOM FIGURE 13-1

STEP 4 RULE (Exceeds Step –4 of Highest Grade)
MARCORSYSCOM Figure 13-1

(c) If the employee's adjusted demonstration project rate of pay is lower than the applicable step four rate of the highest grade, the adjusted rate is compared with the step four rate of the second highest grade in the employee's pay band. If the employee's adjusted rate equals or exceeds step four rate of the second highest grade, the employee is converted to that grade.

Example of an employee whose salary does not equal or exceed Step 4 of the highest grade:

The individual is a Business Management & Technical Management Professional Broadband III employee with a salary of $54,403.

BBL III $43,867(Min)-------------------------------------X-------------------------------$67,827(Max)
$54,403

Conversion:
- Compare $54,403 to Step 4 of the highest grade in the broadband: GS-13, Step 4 = $56,103
  - $54,403 is less than $56,013
  - Next compare $54,403 to GS-12, Step 4 pay $47,180
  - $54,403 is equal to or greater than $47,180
  - Therefore, assign as GS-12
  - $54,403 is between GS-12, Step 9 pay at $47,180 and Step 10 pay at $55,760
  - Therefore assign Step 10 which is equal to $55,760
- Convert employee out of the Demo as a GS-12, Step 10

(Example used 1997 Salary Table)   MARCORSYSCOM FIGURE 13-2

STEP 4 RULE (Does not exceed Step-4 of Highest Grade)
MARCORSYSCOM Figure 13-2

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(d) This process is repeated for each successively lower grade in the band until a grade is found in which the employee's adjusted demonstration project rate of pay equals or exceeds the applicable step four rate of the grade. The employee is then converted at that grade. If the employee's adjusted rate of pay is below the step four rate of the lowest grade in the band, the employee is converted to the lowest grade.

(e) Exception: If the employee's adjusted demonstration project rate of pay exceeds the maximum rate of the grade assigned under the above-described step four rule but fits in the rate range for the next higher applicable grade (i.e., between step one and step four), then the employee shall be converted to that next higher applicable grade.

Example of an exception to the Step 4 Rule:

The individual is a Business Management & Technical Management Professional Broadband III employee with a salary of $56,000.

BBL III $43,867(Min)---X-------------------------$67,827(Max)
$56,000

Conversion:
- Compare $56,000 to Step 4 of the highest grade in the broadband: GS-13, Step 4 = $56,103
  - $56,000 is less than $56,013
  - Therefore, assign as GS-12; but GS-12, Step 10 pay is $55,760
  - Since $56,000 is greater than $55,760, assign as GS-13
  - $56,000 is between GS-13, Step 3 pay at $54,403 and Step 4 pay at $56,103
  - Therefore assign Step 4 which is equal to $56,103
- Convert employee out of the Demo as a GS-13, Step 4

(Example used 1997 Salary Table)   MARCORSYSCOM FIGURE 13-3

EXCEPTION TO THE STEP 4 RULE
MARCORSYSCOM Figure 13-3

(f) Exception: An employee will not be converted to a lower grade than the grade held by the employee immediately preceding a conversion, lateral assignment, or lateral transfer into the demonstration project, unless, since that time, the employee has undergone a reduction in broadband level or reduction in pay based upon an adverse action, a contribution-based action, a reduction-in-force action, or a voluntary change to a lower broadband level.

MARCORSYSCOM 13.2 Grade-Setting Provisions. The conversion process described above will be used for registration purposes in the Priority Placement Program.

13.3 Pay-Setting Provisions. An employee's pay within the converted GS grade is set by converting the employee's demonstration project rate of pay to a GS rate of pay in accordance with the following rules:

(a) The pay conversion is done before any geographic movement or other pay-related action that coincides with the employee's movement or conversion out of the demonstration project.

(b) An employee's adjusted rate of basic pay under the demonstration project (including any locality payment) is converted to a GS rate on the highest applicable rate range for the converted GS grade. (For this purpose, a GS rate range includes a rate range in (1) the GS base schedule, (2) an applicable locality rate schedule, or (3) an applicable special rate schedule.)

(c) If the highest applicable GS rate range is a locality pay rate range, the employee's adjusted demonstration project rate is converted to a GS locality rate of pay. If this rate falls between two steps in the locality-adjusted schedule, the rate of pay must be set at the higher step. The converted GS unadjusted rate of basic pay would be the GS base rate corresponding to the converted GS locality rate (i.e., same step position). (If this employee is also covered by a special rate schedule as a GS employee, the converted special rate will be determined based on the GS step position. This underlying special rate will be basic pay for certain purposes for which the employee's higher locality rate is not basic pay.)

(d) If the highest applicable GS rate range is a special rate range, the employee's adjusted demonstration project rate is converted to a special rate. If this rate falls between two steps in the special rate schedule, the rate must be set at the higher step. The converted GS unadjusted rate of basic pay will be the GS rate corresponding to the converted special rate (i.e., same step position).

(e) If an employee is receiving a retained rate under the demonstration project, the employee's GS-equivalent grade is the highest grade encompassed in his/her broadband level. The Deputy Under Secretary of Defense (Acquisition Reform) and the Deputy Assistant Secretary of Defense (Civilian Personnel Policy) will coordinate with OPM to prescribe a procedure for determining GS-equivalent pay rates for employees receiving retained rates.

13.4 Within-Grade Increase--Equivalent Increase Determinations. Service under the demonstration project is creditable for within-grade increase purposes upon conversion back to the GS pay system. CCAS base salary increases (including a zero increase) under the demonstration project are equivalent increases for the purpose of determining the commencement of a within-grade increase waiting period under 5 CFR 531.405(b).

13.5 Retention Service Credit Associated with Appraisal Results. Table 8 below illustrates the years of retention service credit associated with appraisal results.

Business Management and Technical Management Professional

Broadband	OCS	OCS Range			
		Years of Retention Service Credit			
Level	Normal Range	20	16	12	0
I	0 - 29	21 or above	11 - 20	1-10	0
II	22 - 66	56 or above	39-55	22-38	21 or lower
III	61 - 83	76 or above	69-75	61-68	60 or lower
IV	79 - 100	95 or above	87-94	79-86	78 or lower

Technical Management Support

Broadband	OCS	OCS Range			
		Years of Retention Service Credit			
Level	Normal Range	20	16	12	0
I	0 - 29	21 or above	11 - 20	1-10	0
II	22 - 51	42 or above	32 - 41	22-31	21 or lower
III	43 - 66	59 or above	51-58	43-50	42 or lower
IV	61 - 83	76 or above	69-75	61-68	60 or lower

Administrative Support

Broadband	OCS	OCS Range			
		Years of Retention Service Credit			
Level	Normal Range	20	16	12	0
I	0 - 29	21 or above	11 - 20	1-10	0
II	22 - 46	39 or above	30-38	22-29	21 or lower
III	38 - 61	54 or above	46-53	38-45	37 or lower

Table 8. Retention Service Credit Associated with Appraisal Results

The retention service credit that is based on the employee's OCS as shown in Table 8 will be translated to summary level designators as shown in Table 9 for use by the gaining agency. The gaining agency will take into consideration the data in Table 9 when determining the Appraisal Rating Level.

Retention Service Credit	Appraisal Rating Level
20	Outstanding or equivalent, Level 5
16	Highly Successful or equivalent, Level 4
12	Fully Successful or equivalent, Level 3
0	Unsuccessful, Level 1

Table 9. Translation of Retention Service Credit

Chapter 14 - TRAINING

14.1 Introduction. Training is a very integral and important piece of the demonstration project. Information concerning the initial implementation training for supervisors, employees, labor officials and personnel lists is discussed in Appendix K - Training Plan.

14.2 Responsibilities.

14.2.1 Follow-up Training. Participating DoD Components are responsible to support any additional DoD follow-up demonstration training by providing administrative time for employees to attend, and training rooms and trainers if necessary.

MARCORSYSCOM 14.2.1 Follow-up Training. MARCORSYSCOM will be responsible for providing training resources, including classrooms and trainers.

14.2.2 Continuous Training. Participating DoD Components are also responsible to conduct continuous training about the demonstration project for new supervisors and employees entering the demonstration project, and support staff during the life of the project within a reasonable time of entering the position.

MARCORSYSCOM 14.2.2 Continuous Training. The Command Training office will develop established time lines for supervisor training and new employee orientation.

14.2.2.1 Employee. At a minimum, any individual entering a demonstration project position from outside the demonstration project should be provided a general overview of the project's personnel initiatives and procedures at the time of their initial orientation.

14.2.2.2 Supervisory. Any person entering a supervisory position under the demonstration project must complete the supervisory training on demonstration project initiatives and procedures.

14.2.2.3 Support Staff. Any person who provides administrative support or services to an organization covered by the demonstration project must receive the training as presented in the initial implementation on the demonstration project processes and procedures.

14.3 Training Aids. Training aids provided by DoD during the initial implementation phase of the demonstration project should be used in conjunction with other DoD or Agency specific training aids or programs. These aids include internet training, videos, briefing charts, manuals, etc.

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Chapter 15 - EVALUATION

15.1 Introduction. Demonstration-authorizing legislation (5 U.S.C. Chapter 47) mandates evaluation of the demonstration project to assess the effects of project features and outcomes. In addition, the project will be evaluated for the feasibility of application to other Federal Agencies. The overall evaluation will consist of three phases -- baseline, formative, and summative evaluations -- and will be conducted in accordance with the evaluation plan at Appendix L. The evaluation for the participating agencies will be overseen by the Office of Merit Systems Oversight and Effectiveness, OPM; the Office of the Secretary of Defense (Acquisition & Technology); and the Office of the Deputy Assistant Secretary of Defense (Civilian Personnel Policy), DoD.

15.2 Purpose. The main purpose of the evaluation is to determine the effectiveness of the personnel system changes to be undertaken. To the extent possible, strong direct or indirect relationships will be established between the demonstration project features, outcomes, and mission-related changes and personnel system effectiveness criteria. The evaluation approach uses an intervention impact model that specifies each personnel system change as an intervention, the expected effects of each intervention, the corresponding measures, and the data sources for obtaining the measures.

15.3 Evaluation Methodology. Baseline measures will be taken prior to project implementation. Then, repeated post-implementation measurements will be taken to allow longitudinal comparisons by intervention within and across DoD Components. A comparison group will be selected and compared to the demonstration project group to determine the effects and outcomes of the project.

The effectiveness of each intervention and of the demonstration project as a whole in meeting stated objectives will be addressed using a multi-approach method. Some methods will be unobtrusive in that they do not require reactions to inputs from employees or managers. These methods include analysis of archival workforce data and personnel office data, review of logs maintained by site historians documenting contextual events, and assessments of external economic and legislative changes. Other methods such as periodic attitude surveys, structured interviews, and focus groups will be used to assess the perceptions of employees, managers, supervisors, and personnel regarding the personnel system changes and the performance of their organizations in general. Evaluation activities will also take into account the unique nature of this project in terms of geographic and organizational diversity.

In addition to the intervention impact model, a general context model will be used to determine the effects of potential intervening variables (e.g., downsizing, regionalization of the personnel function, and the state of the economy in general). Potential unintended outcomes will also be monitored, and an attempt will be made by the evaluation team to link the outcomes or demonstration project interventions to organizational effectiveness. In addition to assessing the impact of the individual project features, the evaluation will also assess the impact of the project as a whole, along with possible context effects and effects of intervening variables. The evaluation will also monitor impact on veterans' preference and EEO groups, adherence to the merit systems principles and avoidance of prohibited personnel practices. In addition, the evaluation will attempt to link the demonstration project effects and outcomes to organizational outcomes such as mission accomplishment and productivity.

15.4   Evaluation Phases. The initial evaluation effort will consist of three main phases -- baseline, formative, and summative evaluation covering five years. The baseline phase will collect workforce data to determine the "as-is" state.

The formative evaluation phase will include baseline data collection and analyses, implementation evaluation, and interim assessments. Periodic reports and annual summaries will be prepared to document the findings.

The summative evaluation phase will focus on an overall assessment of the project outcomes, looking initially at the first four years, with a follow-on report covering the first five years. The rationale for summative evaluation after the first four years is to assess whether the demonstration will continue after the fifth year. If the analysis indicates that the interventions show a positive effect towards meeting the goals of the demonstration, then documentation will be generated to support a request that the demonstration progress further. If the analysis indicates that the interventions do not meet the stated objectives, or if the participating organizations do not wish to continue in the demonstration, then documentation and planning for conversion back to the existing personnel system must be prepared. The fifth-year summative evaluation, used in reporting to Congress, will provide overall assessment of all initiatives individually and as a whole. It will also provide recommendations on broader Federal Government application.

15.5 Site Historian. The purpose of the site historian is to capture 'history" or intervening events which are important to the evaluation but which are not normally recorded or kept in the usual databases. It is especially important to maintain a written history because of the long period of this demonstration project (5 years), and the multiple sites, which are subject to different influences. One site may be affected by a change in the local environment, which does not affect other localities. Alternatively, a change in policy or an innovation in operating procedure that occurs during one year may be well known at the time it occurs, but may be forgotten or unknown to researchers conducting the evaluation several years later.

As mentioned in The Evaluation Plan (Appendix L), site historians will be required to document changes within the demonstration project workforce, or in the environment or implementation activities. The following suggestions are provided to assist in the compilation of this historical documentation.

Changes will normally occur in environment, mission, procedures, or resources.   For example, environmental changes could be turnover of personnel or downsizing of an organization. Mission changes could be a shift from basic research to development when new skills required would lead to different recruitment patterns. Procedures changes could be improved recruitment procedures, a change in work schedules, or other enhancements to employee satisfaction. Resources changes could be budget constraints indicating hiring freezes and/or RIFs are likely; or consolidation of personnel from one site to another; or the renovation of office facilities that may or may not necessitate relocating work sites. Components will develop their own format and methodology for data collection; however, a standard protocol should be followed: (1) every entry should be dated; and (2) names and titles of relevant parties should be included. This will assist in locating these individuals if follow-up is needed at a later date.

MARCORSYSCOM OP as of 6 May 1999

Other occurrences that may be considered for recording:

> Designation as developer of new weapons system;
> Internal reorganizations;
> Hiring freeze lifted; and
> Awards received by installation (or organization)

The site historian is not required to make an immediate judgment about the importance or the expected effect of an extraneous event. It is necessary merely to determine that an event might have an effect and, therefore, should be recorded. Some events will be clearly pivotal; others anecdotal. However, even anecdotal items may be useful when aggregated. It is better to err on the side of caution – compile too much data – rather than trying to reconstruct history.

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Chapter 16 - MARINE CORPS ACQUISITION CAREER DEVELOPMENT PROGRAM

16.1 Introduction. This chapter correlates the initiatives of the DoD Civilian Acquisition Workforce Personnel Demonstration Project to the Marine Corps' implementation of the Defense Acquisition Workforce Improvement Act (DAWIA).

16.2 Marine Corps Acquisition Workforce. The acquisition workforce is the personnel component of the acquisition system. The acquisition workforce includes permanent civilian employees and military members who occupy acquisition positions, or who are members of the Department of the Navy (DON) Acquisition Professional Community (APC).

16.3 Designation of Marine Corps Acquisition Positions.

Positions will be designated as acquisition positions and assigned to career fields in accordance with the definitions contained in the DoD Instruction 5000.58.

As the PRD Addendum changes and classification efforts are initiated, supervisors will coordinate with the Director Acquisition Workforce Management to ensure that career field assignments are commensurate with the new classification.

16.4 Critical Acquisition Positions (CAP). In this Demonstration Project, CAPs are senior level acquisition positions in the Business Management and Technical Management Professional Broadband IV. All CAPs are filled by members of the DON APC.

16.5 APC Membership. All individuals filling positions in the Business Management and Technical Management Professional Broadbands III and IV; and Technical Management Support Broadband IV are eligible to apply for membership in the DON APC

16.6 APC Eligibility. APC membership is determined by experiences, education, and training. Once an individual becomes a member of the APC, he/she remains a member even if his/her position, grade, or broadband changes. APC qualifications are:

   Education:

   - Baccalaureate degree from an accredited educational institution authorized to grant
      baccalaureate degrees.

   - At least 24 semester credit hours (or academic equivalent) of study from an accredited
      institution of higher education from among the disciplines of accounting, business finance,
      law, contracts, purchasing, economics, industrial management, marketing, quantitative
      methods, and organization and management. An individual needs only 12 semester credit
      hours if he/she has 24 hours in the discipline assigned to his/her position career field such as
      engineering.

   Training: Be certified at or meet all mandatory training required for either Level II or Level III
      of the primary career field assigned to the acquisition position.

Experience: Have at least four years of experience in Federal government acquisition positions or comparable positions in the private sector (up to one year may be credited for time spent pursuing a program of academic training or education in acquisition.

16.7 Certification Levels. Broadbands or grades associated with each career level are established to assist acquisition workforce members and supervisors in career development planning. Individuals are encouraged to pursue the next level of certification when the certification level associated with the position is achieved. The certification levels are:

Business Management and Technical Management Professional (NH)

Certification Level I
  - NH I, and
  - NH II if base pay (this does not include locality pay) is less than GS-9 Step 1

Certification Level II
  - NH II if base pay (this does not include locality pay) is greater than GS-9 Step 1

Certification Level III
  - NH III, and
  - NH IV

Technical Management Support (NJ)

Certification Level I
  - NJ II

Certification Level II
  - NJ III

Certification Level III
  - NJ IV

Administrative Support (NK)

Certification Level I
  - Purchasing Career Field   NK I
  - Other Career Fields   NK I, NK II

Certification Level II
  - Purchasing Career Field NK II
  - Other Career Fields   NK III

Certification Level III
  - Purchasing Career Field NK III

16.8   Acquisition Workforce Tuition Assistance Program. The Assistant Secretary of the Navy (Research, Development, and Acquisition) (ASN(RDA)) has established a tuition assistance program for employees filling officially designated acquisition positions. The program is intended primarily to provide funding for tuition costs associated with meeting statutory education requirements established by the Defense Acquisition Workforce Improvement Act for membership in the Department of the Navy (DON) Acquisition Professional Community (APC) and for meeting career field certification education standards. Funding is also provided to satisfy other regulatory standards established for the Department of Defense Acquisition Career Development program.

16.8.1 Fund Manager. The manager for the ASN(RDA) funds is the Director, Acquisition Workforce Management (Code AP).

16.8.2 Priority Framework. All requests for tuition assistance will be prioritized as follows:

Priority 1: Personnel seeking membership in the DON APC; Warranted Contracting Officers above the small purchase threshold; and those who need to meet mandatory education standards required for certification in certain career fields at their current level (i.e. Contracting; Systems Planning, Research, Development, and Engineering; and Test and Evaluation).

Priority 2: Personnel seeking to meet degree or semester hour education requirements in their career field specified as "desired" in the Defense Acquisition University catalog (i.e. Masters Degree), and education requirements (mandatory or desired) for other career fields in order to obtain subsidiary career field certification (cross-training).

16.8.3 Allowable Expenses. Payment is limited to $6,000 per fiscal year for courses taken at an accredited institution of higher learning that are needed to meet Priority 1 or 2 education needs. Employees must make satisfactory progress in completing course work. Non-completion and/or failure of a course will be cause for the employee to repay the government the funds paid to the education institution. Expenses covered include:

a.   Courses related to acquisition business management disciplines. Certain electives required to meet degree program requirements may be an exception. Core business/ management and acquisition-related courses will be funded before elective courses are authorized for tuition assistance.

b.   Library, laboratory, or other institution services or fees directly related and specified by the education institution as necessary for completion of a specific course.

16.8.4 Not-Allowable Expenses. Tuition Assistance is not authorized for the following;

a.   Fees not specified as part of the cost of completing the course.

b.   Purchase or rental of required textbooks or course materials.

c.   Paper, pens, pencils, computers, computer equipment and/or enhancements, computer software programs and other office equipment.

    d. Travel expenses.

    e. Special conferences, meetings, or registration fees that are not specifically required by the institution as part of the official course requirements.

    f. Fees for credit by examination, credit for work or life experience and/or fees for transfer of credit.

    g. Tuition expenses for which other reimbursement has been or will be obtained.

APPENDIX A

OCCUPATIONAL SERIES COVERED UNDER DEMONSTRATION PROJECT

BUSINESS MANAGEMENT/TECHNICAL MANAGEMENT PROFESSIONAL	
SERIES NUMBER	**SERIES TITLE**
0011	BOND SALES PROMOTION
0018	SAFETY AND OCCUPATIONAL HEALTH MANAGEMENT
0020	COMMUNITY PLANNING SERIES
0023	OUTDOOR RECREATION PLANNING
0025	PARK RANGER
0028	ENVIRONMENTAL PROTECTION SPECIALIST
0030	SPORTS SPECIALIST
0050	FUNERAL DIRECTING
0062	CLOTHING DESIGN
0072	FINGERPRINT IDENTIFICATION
0080	SECURITY ADMINISTRATION
0095	FOREIGN LAW SPECIALIST
0099	GENERAL STUDENT TRAINEE
0101	SOCIAL SCIENCE
0106	UNEMPLOYMENT INSURANCE
0110	ECONOMIST
0130	FOREIGN AFFAIRS
0131	INTERNATIONAL RELATIONS SERIES
0135	FOREIGN AGRICULTURAL AFFAIRS
0136	INTERNATIONAL COOPERATION
0140	MANPOWER RESEARCH AND ANALYSIS
0142	MANPOWER DEVELOPMENT
0150	GEOGRAPHY
0156	ART SPECIALIST
0160	CIVIL RIGHTS ANALYSIS
0170	HISTORY
0180	PSYCHOLOGY
0184	SOCIOLOGY
0185	SOCIAL WORK
0188	RECREATION SPECIALIST
0190	GENERAL ANTHROPOLOGY
0193	ARCHEOLOGY
0199	SOCIAL SCIENCE STUDENT
0201	PERSONNEL MANAGEMENT
0205	MILITARY PERSONNEL MANAGEMENT SERIES
0212	PERSONNEL STAFFING SPECIALIST
0221	POSITION CLASSIFICATION
0230	EMPLOYEE RELATIONS
0233	LABOR RELATIONS
0235	EMPLOYEE DEVELOPMENT
0241	MEDIATION
0243	APPRENTICESHIP AND TRAINING
0244	LABOR MANAGEMENT RELATIONS EXAMINING SERIES
0246	CONTRACTOR INDUSTRIAL RELATIONS
0249	WAGE AND HOUR COMPLIANCE
0260	EQUAL EMPLOYMENT OPPORTUNITY

0270	FEDERAL RETIREMENT BENEFITS
0299	PERSONNEL MANAGEMENT STUDENT TRAINEE SERIES
0301	MISCELLANEOUS ADMINISTRATION AND PROGRAM
0334	COMPUTER SPECIALIST
0340	PROGRAM MANAGEMENT
0341	ADMINISTRATIVE OFFICER
0343	MANAGEMENT AND PROGRAM ANALYSIS
0346	LOGISTICS MANAGEMENT
0360	EQUAL OPPORTUNITY COMPLIANCE
0391	TELECOMMUNICATIONS
0399	ADMINISTRATION AND OFFICE SUPPORT STUDENT TRAINEE
0401	GENERAL BIOLOGICAL SCIENCE
0403	MICROBIOLOGY
0405	PHARMACOLOGY
0406	AGRICULTURAL EXTENSION
0408	ECOLOGY
0410	ZOOLOGY
0413	PHYSIOLOGY
0414	ENTOMOLOGY
0415	TOXICOLOGY
0430	BOTANY
0434	PLANT PATHOLOGY
0435	PLANT PHYSIOLOGY
0436	PLANT PROTECTION AND QUARANTINE SERIES
0437	HORTICULTURE
0440	GENETICS
0454	RANGE CONSERVATION
0457	SOIL CONSERVATION
0460	FORESTRY
0470	SOIL SCIENCE
0471	AGRONOMY
0475	AGRICULTURAL MANAGEMENT
0480	GENERAL FISH AND WILDLIFE ADMINISTRATION SERIES
0482	FISHERY BIOLOGY
0485	WILDLIFE REFUGE MANAGEMENT
0486	WILDLIFE BIOLOGY
0487	ANIMAL SCIENCE
0493	HOME ECONOMICS
0499	BIOLOGICAL
0501	FINANCIAL ADMINISTRATION AND PROGRAM
0505	FINANICAL MANAGEMENT
0510	ACCOUNTING
0511	AUDITING
0512	INTERNAL REVENUE AGENT
0560	BUDGET ANALYSIS
0599	FINANCIAL MANGEMENT STUDENT TRAINEE
0601	GENERAL HEALTH SCIENCE
0602	MEDICAL OFFICER
0610	NURSE
0630	DIETICIAN AND NUTRITIONIST
0631	OCCUPATIONAL THERAPIST
0633	PHYSICAL THERAPIST
0635	CORRECTIVE THERAPIST

0637	MANUAL ARTS THERAPIST
0639	EDUCATIONAL THERAPIST
0660	PHARMACIST
0662	OPTOMETRIST
0665	SPEECH PATHOLOGY AND AUDIOLOGY
0668	PODIATRIST
0671	HEALTH SYSTEMS SPECIALIST
0680	DENTAL OFFICER
0690	INDUSTRIAL HYGIENE
0699	MEDICAL AND HEALTH STUDENT TRAINEE
0701	VETERINARY MEDICAL SCIENCE
0799	VETERINARY STUDENT TRAINEE
0801	GENERAL ENGINEERING
0803	SAFETY ENGINEERING
0804	FIRE PROTECTION ENGINEERING
0806	MATERIALS ENGINEERING
0807	LANDSCAPE ARCHITECTURE
0808	ARCHITECTURE
0810	CIVIL ENGINEERING
0819	ENVIRONMENTAL ENGINEERING
0830	MECHANICAL ENGINEERING
0840	NUCLEAR ENGINEERING
0850	ELECTRICAL ENGINEERING
0854	COMPUTER ENGINEERING
0855	ELECTRONICS ENGINEERING
0858	BIOMEDICAL ENGINEERING
0861	AEROSPACE ENGINEERING
0871	NAVAL ARCHITECTURE
0880	MINING ENGINEERING
0881	PETROLEUM ENGINEERING
0890	AGRICULTURAL ENGINEERING
0892	CERAMIC ENGINEERING
0893	CHEMICAL ENGINERRING
0894	WELDING ENGINEERING
0896	INDUSTRAIL ENGINEER
0899	ENGINEERING AND ARCHITECTURE STUDENT TRAINEE
0904	LAW CLERK
0905	GENERAL ATTORNEY
0950	PARALEGAL SPECIALIST
0958	PENSION LAW SPECIALIST
0965	LAND LAW EXAMINING
0967	PASSPORT AND VISA EXAMINING
0987	TAX LAW SPECIALIST
0991	WORKERS'COMPENSATION CLAIMS EXAMINING
0993	SOCIAL INSURANCE CLAIMS EXAMINING
0994	UNEMPLOYMENT COMPENSATION CLAIMS EXAMINING
0996	VETRANS CLAIMS EXAMING
0999	STUDENT TRAINEE
1001	GENERAL ARTS AND INFORMATION
1008	INTERIOR DESIGN
1010	EXHIBITS SPECIALIST
1015	MUSEUM CURATOR
1020	ILLUSTRATOR
1035	PUBLIC AFFAIRS

1040	LANGUAGE SPECIALIST
1056	ART SPECIALIST
1060	PHOTOGRAPHY
1071	AUDIOVISUAL PRODUCTION
1082	WRITING AND EDITING
1083	TECHNICAL WRITING AND EDITING
1084	VISUAL INFORMATION
1099	ARTS STUDENT TRAINEE
1101	GENERAL BUSINESS AND INDUSTRY
1102	CONTRACTING
1103	INDUSTRIAL PROPERTY MANAGEMENT
1104	PROPERTY DISPOSAL
1130	PUBLIC UTILITIES
1140	TRADE SPECIALIST
1144	COMMISSARY STORE MANAGEMENT
1145	AGRICULTURE PROGRAM SPECIALIST
1146	AGRICULTURAL MARKETING
1147	AGRICULTURAL MARKETING REPORTING
1150	INDUSTRIAL SPECIALIST
1160	FINANCIAL ANALYSIS
1161	CROP INSURANCE ADMINISTRATION
1162	CROP INSURANCE UNDERWRITING
1163	INSURANCE EXAMINING
1165	LOAN SPECIALIST
1169	INTERNAL REVENUE
1170	REALTY
1171	APPRAISING
1173	HOUSING MANAGEMENT
1176	BUILDING MANAGEMENT
1199	BUSINESS AND INDUSTRY STUDENT TRAINEE
1210	COPYRIGHT
1220	PATENT ADMINISTRATOR
1221	PATENT ADVISOR
1222	PATENT ATTORNEY
1223	PATENT CLASSIFYING
1224	PATENT EXAMINING
1226	DESIGN PATENT EXAMINING
1299	COPYRIGHT AND PATENT STUDENT TRAINEE
1301	GENERAL PHYSICAL SCIENCE
1306	HEALTH PHYSICS
1310	PHYSICS
1313	GEOPHYSICS
1315	HYDROLOGY
1320	CHEMISTRY
1321	METALURGY
1330	ASTRONOMY AND SPACE SCIENCE
1340	METEOROLOGY
1350	GEOLOGY
1360	OCEANOGRAPHY
1370	CARTOGRAPHY
1372	GEODESY
1373	LAND SURVEYING
1380	FOREST PRODUCTS TECHNOLOGY
1382	FOOD TECHNOLOGY

1384	TEXTILE TECHNOLOGY
1386	PHOTOGRAHIC TECHNOLOGY
1397	DOCUMENT ANALYSIS
1399	PHYSICAL SCIENCE STUDENT TRAINEE
1410	LIBRARIAN
1412	TECHNICAL INFORMATION SERVICES
1420	ARCHIVIST
1499	LIBRARY AND ARCHIVES STUDENT TRAINEE
1501	GENERAL MATHEMATICS (AFIT FACULTY ONLY)
1510	ACTUARY
1515	OPERATIONS RESEARCH
1520	MATHEMATICS
1529	MATHEMATICAL STATISTICAN
1530	STATISTICAN
1540	CRYPTOGRAPHY
1541	CRYPTANALYSIS
1550	COMPUTER SCIENCE
1599	MATHEMATICAL AND STATISCAL STUDENT TRAINEE
1601	GENERAL FACILITIES AND EQUIPMENT
1630	CEMETARY ADMINISTRATION
1640	FACILITY MANAGEMENT
1654	PRINTING MANAGEMENT
1670	EQUIPMENT SPECIALIST
1699	EQUIPMENT AND FACILITIES MANAGEMENT STUDENT TRAINEE
1701	GENERAL EDUCATION AND TRAINING
1710	EDUCATION AND VOCATIONAL TRAINING
1712	TRAINING INSTRUCTION
1715	VOCATIONAL REHABILITATION
1720	EDUCATION PROGRAM
1725	PUBLIC HEALTH EDUCATION
1730	EDUCATION RESEARCH
1740	EDUCATION SERVICES
1750	INSTRUCTIONAL SYSTEMS
1799	EDUCATION STUDENT TRAINEE
1801	GENERAL INSPECTION, INVESTIGATION AND COMPLIANCE
1802	COMPLIANCE, INSPECTION AND SUPPORT
1810	GENERAL INVESTIGATING
1816	IMMIGRATION INSPECTION
1822	MINE SAFETY AND HEALTH
1825	AVIATION SAFETY
1831	SECURITIES COMPLIANCE
1854	ALCOHOL, TOBACCO AND FIREARMS INSPECTION
1862	CONSUMER SAFETY INSPECTION
1863	FOOD INSPECTION
1864	PUBLIC HEALTH QUARANTINE INSPECTION
1889	IMPORT SPECIALIST
1890	CUSTOMS INSPECTION
1899	INVESTIGATION STUDENT TRAINEE
1910	QUALITY ASSURANCE
1980	AGRICULTURAL COMMODITY
1999	COMMODITY GRADING QUALITY INSPECTION STUDENT TRAINEE

2001	GENERAL SUPPLY
2003	SUPPLY PROGRAM MANAGEMENT
2010	INVENTORY MAANGEMENT
2030	DISTRIBUTION FACILITIES AND STORAGE MANAGEMENT
2032	PACKAGING
2050	SUPPLY CATALOGING
2099	SUPPLY STUDENT TRAINEE
2101	TRANSPORTATION SPECIALIST
2110	TRANSPORTATION INDUSTRY ANALYSIS
2121	RAILROAD SAFETY
2123	MOTOR CARRIER SAFETY
2125	HIGHWAY SAFETY
2130	TRAFFIC MANAGEMENT
2150	TRANSPORTATION OPERATIONS
2151	DISPATCHING
2152	AIR TRAFFIC CONTROL
2161	MARINE CARGO
2181	AIR CRAFT OPERATIONS
2183	AIR NAVIGATION
2199	TRANSPORTATION STUDENT TRAINEE

TECHNICAL MANAGEMENT SUPPORT	
SERIES NUMBER	SERIES TITLE
0019	SAFETY TECHNICIAN
0021	COMMUNITY PLANNING TECHNICIAN
0102	SOCIAL SCIENCE AIDE
0181	PSYCHOLOGY AID AND TECHNICIAN
0187	SOCIAL SERVICES
0332	COMPUTER OPERATION
0390	TELECOMMUNICATIONS PROCESSING
0392	GENERAL TELECOMMUNICATIONS
0404	BIOLOGICAL SCIENCE TECHNICIAN
0421	PLANT PROTECTION TECHNICIAN
0455	RANGE TECHNICIAN
0458	SOIL CONSERVATION TECHNICIAN
0459	IRRIGATION SYSTEMS OPERATION
0462	FORESTRY TECHNICIAN
0526	TAX TECHNICIAN
0592	TAX EXAMINING
0620	PRACTICAL NURSE
0621	NURSING ASSISTANT
0622	MEDICAL SUPPLY AIDE AND TECHNICIAN
0640	HEALTH AIDE AND TECHNICIAN
0642	NUCLEAR MEDICINE TECHNICIAN
0644	MEDICAL TECHNOLOGIST
0645	MEDICAL TECHNICIAN
0646	PATHOLOGY TECHNICIAN
0647	DIAGNOSTIC RADIOLOGIC TECHNOLOGIST
0648	THERAPEUTIC RADIOLOGIC TECHNOLOGIST
0649	MEDICAL INSTRUMENT TECHNICIAN
0661	PHARMACY TECHNICIAN
0664	RESTORATION TECHNICIAN
0672	PROSTHETIC REPRESENTATIVE

0675	MEDICAL RECORDS TECHNICIAN
0683	DENTAL LABORATORY AIDE AND TECHNICIAN
0698	ENVIRONMENTAL HEALTH TECHNICIAN
0802	ENGINEERING TECHNICIAN
0809	CONSTRUCTION CONTROL
0817	SURVEYING TECHNICIAN
0818	ENGINEERING DRAFTING
0856	ELECTRONICS TECHNICIAN
0873	SHIP SURVEYING
0895	INDUSTRIAL ENGINEERING TECHNICIAN
0962	CONTACT REPRESENTATIVE
0963	LEGAL INSTRUMENTS EXAMINING
0990	GENERAL CLAIMS EXAMINING
0992	LOSS AND DAMAGE CLAIMS EXAMINING
0995	DEPENDENT AND ESTATES CLAIMS EXAMINING
1016	MUSEUM SPECIALIST AND TECHNICIAN
1152	PRODUCTION CONTROL
1202	PATENT TECHNICIAN
1211	COPYRIGHT TECHNICIAN
1311	PHYSICAL SCIENCE TECHNICIAN
1316	HYDRAULIC TECHNICIAN
1341	METEOROLOGICAL TECHNICIAN
1371	CARTOGRAPHIC TECHNICIAN
1374	GEODETIC TECHNICIAN
1411	LIBRARY TECHNICIAN
1421	ARCHIVES TECHNICIAN
1521	MATHEMATICS TECHNICIAN
1531	STATISTICAL ASSISTANT
1658	LAUNDRY AND DRY CLEANING PLANT MANAGEMENT
1667	STEWARD
1702	EDUCATION AND TRAINING TECHNICIAN
1895	CUSTOM WAREHOUSE OFFICER
2005	SUPPLY CLERICAL AND TECHNICIAN
2135	TRANSPORTATION LOSS AND DAMAGE CLAIMS
2185	AIRCREW TECHNICIAN

ADMINISTRATIVE SUPPORT	
SERIES NUMBER	**SERIES TITLE**
0029	ENVIRONMENTAL PROTECTION ASSISTANT
0085	SECURITY GUARD
0086	SECURITY CLERICAL AND ASSISTANCE
0105	SOCIAL INSURANCE ADMINISTRATOR
0107	HEALTH INSURANCE ADMINISTRTOR
0119	ECONOMICS ASSISTANT
0186	SOCIAL SERVICES AIDE AND ASSISTANCE
0189	RECREATION AIDE AND ASSISTANCE
0203	PERSONNEL CLEARANCE AND ASSISTANCE
0204	MILITARY PERSONNEL CLERICAL AND TECHNICIAN
0303	MISCELLANEOUS CLERK AND ASSISTANT
0304	INFORMATION RECEPTIONIST
0305	MAIL AND FILE
0309	CORRESPONDENCE CLERK

0312	CLERK-STENOGRAPHER AND REPORTER
0313	WORK UNIT SUPERVISOR
0318	SECRETARY
0319	CLOSED MICROPHONE REPORTER
0322	CLERK TYPIST
0326	OFFICE AUTOMATION CLERICAL AND ASSISTANCE
0335	COMPUTER CLERK AND ASSISTANCE
0342	SUPPORT SERVICES ADMINISTRATOR
0344	MANAGEMENT AND PROGRAM CLERICAL AND ASSISTANCE
0350	EQUIPMENT OPERATOR
0351	PRINTING CLERICAL
0356	DATA TRANSCRIBER
0357	CODING
0361	EQUAL OPPORTUNITY ASSISTANCE
0382	TELEPHONE OPERATING
0394	COMMUNICATIONS CLERICAL
0503	FINANICAL CLERICAL AND ASSISTANCE
0525	ACCOUNTING TECHNICIAN
0530	CASH PROCESSING
0540	VOUCHER EXAMINING
0544	CIVILIAN PAY
0545	MILITARY PAY
0561	BUDGET CLERICAL AND ASSISTANCE
0625	AUTOPSY ASSISTANT
0650	MEDICAL TECHNICIAN
0679	MEDICAL CLERK
0681	DENTAL ASSISTANT
0986	LEGAL CLERICAL AND ASSISTANCE
0998	CLAIMS CLERICAL
1087	EDITORIAL ASSISTANCE
1105	PURCHASING
1106	PROCURMENT CLERICAL AND ASSISTANCE
1107	PROPERTY DISPOSAL CLERICAL AND TECHNICIAN
2091	SALES STORE CLERICAL
2102	TRANSPORTATION CLERK AND ASSISTANT
2131	FREIGHT RATE
2132	TRAVEL
2134	SHIPMENT CLERICAL
2135	TRANSPORTATION LOSS AND DAMAGE CLAIMS EXAMINING
2144	CARGO SCHEDULING
2154	AIR TRAFFIC ASSISTANCE

APPENDIX B

DEFINITIONS OF CAREER PATHS AND CAREER BROADBAND LEVELS

Career Path I: Business Management and Technical Management Professional (NH)

Includes professional and management positions in science, engineering, and business management. These positions often have positive degree requirements.

Level I. Includes student trainees**.** Education and employment must be part of a formal student employment program. Specific, clear and detailed instructions and supervision are given. The level of education and experience completed is a major consideration in establishing the level of on-the-job training and work assignments.

Level II. This is the entry or developmental stage, preparing employees for the full and independent performance of their work. Specific, clear, and detailed instructions and supervision are given upon entry; recurring assignments are carried out independently. Conducts successive activities with objectives and priorities identified by supervisor or team leader; assistance given on new or unusual projects or situations. Finished work is reviewed to ensure accuracy and technical soundness.

Level III. This is the advanced developmental/target career level of this career path. Employee plans and carries out assignments independently; conceives and defines solutions to highly complex problems; analyzes, interprets, and reports findings of projects; and guides technical and programmatic work of team members in comparable junior grades. Completed work and reports are reviewed for feasibility, compatibility with other work or effectiveness in meeting requirements or expected results.

Level IV. Professionals at this level are experts within their functional areas; heads of branches or divisions; or key program administrators. Conducts or directs activities or assists higher levels on challenging and innovative program development with only general guidance on policy, resources and planning; develops solutions to highly complex problems requiring various disciplines; responsible for fulfilling program objectives. Results are authoritative and impact programs or the well-being of substantial numbers of people.

Career Path II: Technical Management Support (NJ)

Includes nonprofessional positions that support science and engineering activities through application of various skills in areas such as the following: engineering, physical, chemical, biological and mathematical sciences.

Level I. This includes trainees who develop technical support knowledge through actual work experience. Performs repetitive tasks using knowledge of standardized procedures and operations. Receives specific, clear and detailed instruction and supervision. Completed work is reviewed for technical soundness.

Level II. Technicians at this level require a practical knowledge of standard procedures in a technical field. Skill in applying knowledge of basic principles, concepts, and methodology of occupational and/or technical methods is required. Carries out prescribed procedures and relies heavily on precedent methods. Work is reviewed for technical adequacy and accuracy, and adherence to instructions.

Level III. This is the advanced developmental level of this career path, requiring extensive training or experience. Work requires some adapting of existing precedents or techniques. Receives outline of objectives desired and description of operating characteristics and theory involved. Completed assignments are reviewed for compliance with instructions, adequacy, judgment, and satisfaction of requirements.

Level IV. Technicians at this level are considered to have professional level knowledge of a specific field. Receives general guidance on overall objectives and resources. Conceives, recommends, and tests new techniques or methods. Completed work is reviewed for overall soundness and compliance with overall project objectives.

Career Path III: Administrative Support (NK)

Includes clerical, secretarial and assistant work in nonscientific/engineering occupations.

Level I. This includes student trainees as well as advanced entry level that requires a fundamental knowledge of clerical/administrative field. Developmental assignments may be given which lead to duties at a higher group level. Performs repetitive tasks; specific, clear, and detailed instruction and supervision; with more experience utilizes knowledge of standardized procedures and operations. Assistance is given on new or unusual projects. Completed work is reviewed for technical soundness.

Level II. This is the journey level that requires knowledge of standardized rules, procedures or operations requiring considerable training. General guidance is received on overall objectives and resources. Completed assignments may be reviewed for overall soundness or meeting expected results.

Level III. This is the senior level that requires knowledge of extensive procedures and operations requiring extensive training. Receives general guidance on overall resources and objectives. Skilled in applying knowledge of basic principles, concepts and methodology of administrative occupation and/or technical methods. Results are accepted as authoritative and normally without significant change.

APPENDIX C

BROADBAND LEVEL DESCRIPTORS

CAREER PATH: (1) BUSINESS MANAGEMENT &
                 TECHNICAL MANAGEMENT PROFESSIONAL

FACTOR: 1. - PROBLEM SOLVING

FACTOR DESCRIPTION: This factor describes/captures personal and organizational problem-solving results.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Completed work meets projects/programs objectives. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
Level I • Performs activities on a task; assists supervisor or other appropriate personnel. • Resolves routine problems within established guidelines. • Independently performs assigned tasks within area of responsibility; refers situations to supervisor or other appropriate personnel when existing guidelines do not apply. • Takes initiative in determining and implementing appropriate procedures.	- Scope/Impact - Complexity/Difficulty - Independence - Creativity
Level II • Plans and conducts functional technical activities for projects/programs. • Identifies, analyzes, and resolves complex/difficult problems. • Independently identifies and resolves conventional problems which may require deviations from accepted policies or instructions. • Adapts existing plans and techniques to accomplish complex projects/programs. Recommends improvements to the design or operation of systems, equipment, or processes.	- Scope/Impact - Complexity/Difficulty - Independence - Creativity
Level III • Independently defines, directs, or leads highly challenging projects/programs. Identifies and resolves highly complex problems not susceptible to treatment by accepted methods. • Develops, integrates, and implements solutions to diverse, highly complex problems across multiple areas and disciplines. • Anticipates problems, develops sound solutions and action plans to ensure program/mission accomplishment.	- Scope/Impact - Complexity/Difficulty - Independence

• Develops plans and techniques to fit new situations to improve overall program and policies. Establishes precedents in application of problem-solving techniques to enhance existing processes.	- Creativity
Level IV	
• Defines, establishes, and directs organizational focus (on challenging and highly complex project/ programs). Identifies and resolves highly complex problems that cross organizational boundaries and promulgates solutions. Resolution of problems requires mastery of the field to develop new hypotheses or fundamental new concepts.	- Scope/Impact
• Assesses and provides strategic direction for resolution of mission critical problems, policies, and procedures.	- Complexity/Difficulty
• Works at senior level to define, integrate, and implement strategic direction for vital programs with long-term impact on large numbers of people. Initiates actions to resolve major organizational issues. Promulgates innovative solutions and methodologies.	- Independence
• Works with senior management to establish new fundamental concepts and criteria and stimulate the development of new policies, methodologies, and techniques. Converts strategic goals into programs or policies.	- Creativity

FACTOR: 2. - TEAMWORK/COOPERATION

FACTOR DESCRIPTION: This factor, applicable to all teams, describes/captures individual and organizational teamwork and cooperation.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Personal and organizational interactions exhibit and foster cooperation and teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.
Descriptors indicate the type of contribution appropriate for the high end of each level.
Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
Level I	
• Works with others to accomplish routine tasks	- Scope of Team Effort
• Contributes ideas in own area of expertise. Interacts cooperatively with others.	- Contribution to Team
• Regularly completes assignments in support of team goals.	- Effectiveness
Level II	
• Works with others to accomplish projects/programs.	- Scope of Team Effort
• Uses varied approaches to resolve or collaborate on projects/programs issues. Facilitates cooperative interactions with others.	- Contribution to Team
• Guides/supports others in executing team assignments. Proactively functions as an integral part of the team.	- Effectiveness

Level III	
• Works with others to accomplish complex projects/programs.	- Scope of Team Effort
• Applies innovative approaches to resolve unusual/difficult issues significantly impacting important policies or programs. Promotes and maintains environment for cooperation and teamwork.	- Contribution to Team
• Leads and guides others in formulating and executing team plans. Expertise is sought by peers.	- Effectiveness
Level IV	
• Leads/guides/mentors workforce in dealing with complex problems.	- Scope of Team Effort
• Solves broad organizational issues. Implements strategic plans within and across organizational components. Ensures a cooperative teamwork environment.	- Contribution to Team
• Leads/guides workforce in achieving organizational goals. Participates on high-level teams. Is sought out for consultation.	- Effectiveness

FACTOR: 3. - CUSTOMER RELATIONS

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of personal and organizational interactions with customers (anyone to whom services or products are provided), both internal (within an assigned organization) and external (outside an assigned organization).

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
Level I	
• Independently carries out routine customer requests.	- Breadth of Influence
• Participates as a team member to meet customer needs.	- Customer Needs
• Interacts with customers on routine issues with appropriate guidance.	- Customer Interaction Level
Level II	
• Guides the technical/functional efforts of individuals or team members as they interact with customers.	- Breadth of Influence
• Initiates meetings and interactions with customers to understand customer needs/expectations.	- Customer Needs
• Interacts independently with customers to communicate information and coordinate actions.	- Customer Interaction Level
Level III	
• Guides and integrates functional efforts of individuals or teams in support of customer interaction. Seeks innovative approaches to satisfy customers.	- Breadth of Influence

• Establishes customer alliances, anticipates and fulfills customer needs, and translates customer needs to programs/projects.	- Customer Needs
• Interacts independently and proactively with customers to identify and define complex/difficult problems and to develop and implement strategies or techniques for resolving program/project problems (e.g., determining priorities and resolving conflict among customers' requirements).	- Customer Interaction Level
Level IV • Leads and manages the organizational interactions with customers from a strategic standpoint.	- Breadth of Influence
• Works to assess and promulgate political, fiscal, and other factors affecting customer and program/project needs. Works with customer at management levels to resolve problems affecting programs/projects(e.g., problems that involve determining priorities and resolving conflicts among customers' requirements).	- Customer Needs
• Works at senior level to stimulate customer alliances for program/project support. Stimulates, organizes, and leads overall customer interactions.	- Customer Interaction Level

FACTOR: 4. - LEADERSHIP/SUPERVISION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational leadership and/or supervision. Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promotes commitment to mission accomplishment. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Takes initiative in accomplishing assigned tasks. • Provides inputs to others in own technical/functional area. • Seeks and takes advantage of developmental opportunities.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development
LEVEL II • Actively contributes as a team member/leader; provides insight and recommends changes or solutions to problems.	- Leadership Role

LEVEL DESCRIPTORS	DISCRIMINATORS
• Proactively guides, coordinates, and consults with others to accomplish projects. • Identifies and pursues individual/team development opportunities.	- Breadth of Influence - Mentoring/Employee Development
Level III • Provides guidance to individuals/teams; resolves conflicts. Considered a functional/technical expert by others in the organization; is regularly sought out by others for advice and assistance. • Defines, organizes, and assigns activities to accomplish projects/programs goals. Guides, motivates, and oversees the activities of individuals and teams with focus on projects/programs issues. • Fosters individual/team development by mentoring. Pursues or creates training development programs for self and others.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development
LEVEL IV • Establishes and/or leads teams to carry out complex projects or programs. Resolves conflicts. Creates climate where empowerment and creativity thrive. Recognized as a technical/functional authority on specific issues. • Leads, defines, manages, and integrates efforts of several groups or teams. Ensures organizational mission and program success. • Fosters the development of other team members by providing guidance or sharing expertise. Directs assignments to encourage employee development and cross-functional growth to meet organizational needs. Pursues personal professional development.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development

FACTOR: 5. - COMMUNICATION

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of oral/written communications.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at appropriate level. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Communicates routine task status/results as required. • Provides timely data and written analyses for input to management/technical reports or contractual documents.	- Level of Interaction (Audience) - Written

• Explains status/results of assigned tasks.	- Oral
LEVEL II • Communicates team or group tasking results, internally and externally, at peer levels. • Writes, or is a major contributor to, management/technical reports or contractual documents. • Presents informational briefings.	- Level of Interaction (Audience) - Written - Oral
LEVEL III • Communicates project or program results to all levels, internally and externally. • Reviews and approves, or is a major contributor to/ lead author of, management reports or contractual documents for external distribution. Provides inputs to policies. • Presents briefings to obtain consensus/approval.	- Level of Interaction (Audience) - Written - Oral
LEVEL IV • Determines and communicates organizational positions on major projects or policies to senior level. • Prepares, reviews, and approves major reports or policies of organization for internal and external distribution. Resolves diverse viewpoints/controversial issues. • Presents organizational briefings to convey strategic vision or organizational policies.	- Level of Interaction (Audience) - Written - Oral

FACTOR: 6. - RESOURCE MANAGEMENT

FACTOR DESCRIPTION: This factor describes/captures personal and organizational utilization of resources to accomplish the mission. (Resources include, but are not limited to, personal time, equipment and facilities, human resources, and funds.)

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Uses assigned resources needed to accomplish tasks. • Plans individual time and assigned resources to accomplish tasks. • Effectively accomplishes assigned tasks.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL II • Plans and utilizes appropriate resources to accomplish project goals. • Optimizes resources to accomplish projects/programs within established schedules. • Effectively accomplishes projects/programs goals within established resource guidelines.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency

LEVEL III	
• Plans and allocates resources to accomplish multiple projects/programs.	- Scope of Responsibility
• Identifies and optimizes resources to accomplish multiple projects/programs goals.	- Planning/Budgeting
• Effectively accomplishes multiple projects/programs goals within established guidelines.	- Execution/Efficiency
LEVEL IV	
• Develops, acquires, and allocates resources to accomplish mission goals and strategic objectives.	- Scope of Responsibility
• Formulates organizational strategies, tactics, and budget/action plan to acquire and allocate resources.	- Planning/Budgeting
• Optimizes, controls, and manages all resources across projects/programs. Develops and integrates innovative approaches to attain goals and minimize expenditures.	- Execution/Efficiency

CAREER PATH: (2) TECHNICAL MANAGEMENT SUPPORT

FACTOR: 1. - PROBLEM SOLVING

FACTOR DESCRIPTION: This factor describes/captures personal and organizational problem-solving.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I	
• Conducts activities on a task; assists supervisors or other appropriate personnel.	- Scope/Impact
• Resolves routine problems within established guidelines.	- Complexity/Difficulty
• Works with others in solving problems with appropriate guidance.	- Independence
• Takes initiative in selecting and implementing appropriate procedures.	- Creativity
LEVEL II	
• Plans and conducts technical activities for projects.	- Scope/Impact
• Identifies and resolves non-routine technical problems utilizing established patterns and methods.	- Complexity/Difficulty
• Identifies and resolves problems; adapts accepted policies, procedures, or methods with moderate guidance.	- Independence
• Adapts existing plans and techniques to accomplish projects.	- Creativity

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL III • Plans and conducts challenging and difficult technical activities for projects/programs. • Develops, integrates, and implements solutions to complex problems on projects/programs. • Identifies problems; develops solutions and action plans with minimal guidance. • Develops plans and techniques to fit new situations.	- Scope/Impact - Complexity/Difficulty - Independence - Creativity
LEVEL IV • Identifies and resolves complex problems that may cross functional/technical boundaries and promulgates solutions. • Develops, integrates/implements solutions to diverse, complex problems which may cross multiple projects/programs or functional/technical areas. • Independently resolves and coordinates technical problems involving multiple projects/programs. • Develops plans and techniques to fit new situations and/or to address issues that cross technical/functional areas.	- Scope/Impact - Complexity/Difficulty - Independence - Creativity

FACTOR: 2. - TEAMWORK/COOPERATION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational teamwork and cooperation.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Personal and organizational interactions exhibit and foster cooperation and teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Works with others to accomplish routine tasks. • Contributes ideas in own area of expertise. Interacts cooperatively with others. • Regularly completes assignments in support of team goals.	- Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL II • Works with others in accomplishing projects. • Contributes ideas in own area of expertise. Facilitates cooperative interactions with others. • Supports others in executing team assignments. Proactively functions as an integral part of the team.	- Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL III • Works with others to accomplish complex projects/programs.	- Scope of Team Effort

• Guides others to resolve or collaborate on complex projects/programs issues. Promotes cooperative interactions with others. • Integrates technical expertise and guides activities to support team accomplishment.	- Contribution to Team - Effectiveness
LEVEL IV • Leads others to accomplish complex projects and programs. • Applies innovative approaches to resolve unusual/difficult technical/management issues. Promotes and maintains environment for cooperation and teamwork. • Leads and guides others in formulating and executing team plans. Expertise is sought by others.	- Scope of Team Effort - Contribution to Team - Effectiveness

FACTOR: 3. - CUSTOMER RELATIONS

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of personal and organizational interactions with customers (anyone to whom services or products are provided), both internal (within an assigned organization) and external (outside an assigned organization).

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Assists customer support activities. • Participates as a team member to meet customer needs. • Interacts with customers on routine issues with appropriate guidance.	- Breadth of Influence - Customer Needs - Customer Interaction Level
LEVEL II • Actively participates with others to satisfy customer requests. • Interacts with customers to respond to customer needs/expectations. • Interacts with customers to communicate information and coordinate action.	- Breadth of Influence - Customer Needs - Customer Interaction Level
LEVEL III • Guides the technical efforts of individuals or teams as they relate with customers. Deviates from standard approaches when necessary. • Initiates meetings and interactions with customers to understand customer needs/expectations. • Interacts independently and proactively with customers to identify/define problems and to implement solutions.	- Breadth of Influence - Customer Needs - Customer Interaction Level

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL IV • Leads and coordinates technical efforts of individuals or teams in support of customer interactions. Develops innovative approaches to satisfy customers. • Establishes customer alliances; anticipates and fulfills customer needs and translates customer needs to projects/programs. Organizes and leads customer interactions. • Interacts proactively with customers to identify and define complex/controversial problems and to develop and implement strategies or techniques for resolving projects/programs issues.	- Breadth of Influence - Customer Needs - Customer Interaction Level

FACTOR: 4. - LEADERSHIP/SUPERVISION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational leadership and/or supervision. Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promotes commitment to mission accomplishment. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Takes initiative in accomplishing assigned tasks. Asks for assistance as appropriate. • Provides input to others in technical/functional area. • Seeks and takes advantage of developmental opportunities.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development
LEVEL II • Actively contributes as team member; takes initiative to accomplish assigned projects. • Consults and coordinates with others to complete projects within established guidelines. • Identifies and pursues individual/team developmental opportunities.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development
LEVEL III • Actively contributes as team member or leader. Recognized for functional/technical expertise. • Defines, organizes, and assigns activities to accomplish goals. Guides, motivates and oversees others in accomplishing projects/programs.	- Leadership Role - Breadth of Influence

• Promotes developmental opportunities for self and team. Advises others to seek specific training.	- Mentoring/Employee Development
LEVEL IV • Provides guidance to individuals/teams; resolves conflicts. Serves as subject matter expert. • Guides, motivates, and oversees multiple complex projects/programs. • Directs assignments to encourage employee development and cross-technical/functional growth to meet organizational needs. Pursues self-development.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development

FACTOR: 5. - COMMUNICATION

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of oral/written communications.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at appropriate level. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Communicates routine task/status/results as required. • Provides data and accurate draft documentation of assigned tasks for input to reports or documents. • Explains status/results of assigned tasks.	- Level of Interaction (Audience) - Written - Oral
LEVEL II • Communicates team or group project status/results at equivalent levels within the agency. • Writes segments of management/technical reports or documents. • Communicates group/team results.	- Level of Interaction (Audience) - Written - Oral
LEVEL III • Communicates projects/programs status/results to management. • Consolidates input and writes management/technical reports/documents for projects/programs. • Presents projects/programs briefings.	- Level of Interaction (Audience) - Written - Oral
LEVEL IV • Determines and communicates projects/programs positions at senior levels. • Prepares, reviews, and approves management/technical reports for internal and external distribution. • Presents projects/programs briefings to obtain consensus/approval. Represents the organization as technical subject matter expert.	- Level of Interaction (Audience) - Written - Oral

FACTOR: 6. - RESOURCE MANAGEMENT

FACTOR DESCRIPTION: This factor describes/captures personal and organizational utilization of resources to accomplish the mission.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Uses assigned resources to accomplish tasks. • Plans individual time to accomplish tasks. • Effectively accomplishes assigned tasks with appropriate guidance.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL II • Identifies and uses resources appropriately to accomplish projects. • Plans resources to achieve task schedules. • Independently accomplishes assigned tasks.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL III • Plans and utilizes appropriate resources to accomplish projects/programs. • Optimizes resources to accomplish projects within established milestones. • Effectively accomplishes projects/programs within established resource guidelines.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL IV • Plans and allocates resources to accomplish multiple project/program goals. • Identifies and optimizes resources to accomplish multiple project/program goals. • Effectively accomplishes multiple project/program goals within established thresholds. Develops innovative approaches to attain goals and minimize resource expenditures.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency

CAREER PATH: (3) ADMINISTRATIVE SUPPORT

FACTOR: 1. - PROBLEM SOLVING

FACTOR DESCRIPTION: This factor describes/captures personal and organizational problem solving.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Completed work meets project/program
objectives. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level.
Descriptors are not to be used individually to assess contributions, but rather are to be taken as a
group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Conducts activities on a segment of a task. Assists supervisor or other appropriate personnel. • Applies standard rules, procedures, or operations to resolve routine problems. • Independently carries out routine tasks. • Takes initiative in selecting and implementing appropriate procedures.	- Scope/Impact - Complexity/Difficulty - Independence - Creativity
LEVEL II • Plans and conducts administrative activities for projects. • Develops, modifies, and/or applies rules, procedures, or operations to resolve problems of moderate complexity/difficulty. • Independently plans and executes assignments; resolves problems and handles deviations. • Identifies and adapts guidelines for new or unusual situations.	- Scope/Impact - Complexity/Difficulty - Independence - Creativity
LEVEL III • Plans and conducts complex administrative activities. • Develops rules, procedures, or operations for complex/difficult organizational tasks. • Identifies issues and determines approaches and methods to accomplish tasks. Initiates effective actions and resolves related conflicts. • Identifies issues requiring new procedures and develops appropriate guidelines.	- Scope/Impact - Complexity/Difficulty - Independence - Creativity

FACTOR: 2. - TEAMWORK/COOPERATION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational
teamwork and cooperation.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Personal and organizational interactions
exhibit and foster cooperation and teamwork. Flexibility, adaptability, and decisiveness are
exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level.
Descriptors are not to be used individually to assess contributions, but rather are to be taken as a
group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Works with others to accomplish routine tasks. • Contributes ideas on routine procedures. Interacts cooperatively with others. • Regularly completes tasks in support of team goals.	- Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL II • Works with others to accomplish tasks. • Resolves administrative problems; facilitates cooperative interactions with others. • Guides others and coordinates activities in support of team goals. Proactively functions as an integral part of the team.	- Scope of Team Effort - Contribution to Team - Effectiveness
LEVEL III • Works with others on complex issues/problems that may cross functional areas. • Applies expertise in resolving complex administrative issues. Promotes and maintains environment for cooperation/teamwork. Sets tone for internal/external cooperation. • Leads and guides others in formulating and executing plans in support of team goals.	- Scope of Team Effort - Contribution to Team - Effectiveness

FACTOR: 3. - CUSTOMER RELATIONS

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of personal and organizational interactions with customers (anyone to whom services or products are provided), both internal (within an assigned organization) and external (outside an assigned organization).

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level.
Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Assists customer support activities. • Meets routine customer needs. • Interacts with customers on routine issues within specific guidelines.	- Breadth of Influence - Customer Needs - Customer Interaction Level
LEVEL II • Guides the administrative efforts of individuals or team members as they interact with customers. • Independently interacts with customers to understand customer	- Breadth of Influence - Customer Needs

LEVEL DESCRIPTORS	DISCRIMINATORS
needs/expectations. • Interacts independently with customers to communicate information and coordinate actions.	- Customer Interaction Level
LEVEL III • Identifies, defines, and guides administrative efforts in support of customer interactions; coordinates and focuses activities to support multiple customers. • Establishes customer alliances and translates needs to customer service. • Works independently with customers at all levels to define services and resolve non-routine problems.	- Breadth of Influence - Customer Needs - Customer Interaction Level

FACTOR: 4. - LEADERSHIP/SUPERVISION

FACTOR DESCRIPTION: This factor describes/captures individual and organizational leadership and/or supervision. Recruits, develops, motivates, and retains quality team members in accordance with EEO/AA and Merit Principles. Takes timely/appropriate personnel actions, communicates mission and organizational goals; by example, creates a positive, safe, and challenging work environment; distributes work and empowers team members.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels): Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promotes commitment to mission accomplishment. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Takes initiative in accomplishing assigned tasks. Asks for assistance as appropriate. • Provides input in administrative/functional area. • Seeks and takes advantage of developmental opportunities.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development
LEVEL II • Actively contributes as team member or leader; takes initiative to accomplish assigned projects. • Guides others in accomplishing projects. • Identifies and pursues individual/team developmental opportunities.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development
LEVEL III • Provides guidance to individuals/teams; resolves conflicts. Expertise solicited by others. • Guides and accounts for results or activities of individuals, teams, or projects. • Promotes individual/team development; leads development of training programs for self and others.	- Leadership Role - Breadth of Influence - Mentoring/Employee Development

FACTOR: 5. - COMMUNICATION

FACTOR DESCRIPTION: This factor describes/captures the effectiveness of oral/written communications.

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at appropriate level. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Communicates routine task/status results as required. • Writes timely and accurate draft documentation. • Explains status/results of assigned tasks.	- Level of Interaction (Audience) - Written - Oral
LEVEL II • Interprets and communicates administrative procedures within immediate organization. • Prepares, coordinates, and consolidates documents, reports, or briefings. • Communicates/presents internal administrative/functional procedures and tasks internally and externally.	- Level of Interaction (Audience) - Written - Oral
LEVEL III • Develops and advises on administrative procedures and communicates them to all levels, both internally and externally. • Prepares, reviews, and/or approves documents, reports, or briefings. • Explains and/or communicates administrative/functional procedures at all levels.	- Level of Interaction (Audience) - Written - Oral

FACTOR: 6. - RESOURCE MANAGEMENT

FACTOR DESCRIPTION: This factor describes/captures personal and organizational utilization of resources to accomplish the mission. (Resources include, but are not limited to, personal time, equipment and facilities, human resources, and funds.)

EXPECTED PERFORMANCE CRITERIA (Applicable to all contributions at all levels):
Work is timely, efficient, and of acceptable quality. Available resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately.

Descriptors indicate the type of contribution appropriate for the high end of each level. Descriptors are not to be used individually to assess contributions, but rather are to be taken as a group to derive a single evaluation of the factor.

LEVEL DESCRIPTORS	DISCRIMINATORS
LEVEL I • Uses assigned resources to accomplish tasks. • Plans individual time and assigned resources to accomplish tasks. • Effectively accomplishes assigned tasks.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL II • Identifies and uses resources to accomplish projects. • Plans resources to achieve project schedules. • Effectively accomplishes projects within established resource guidelines.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency
LEVEL III • Plans, acquires, and allocates resources to accomplish objectives. • Coordinates resources across projects. • Optimizes resource utilization across projects.	- Scope of Responsibility - Planning/Budgeting - Execution/Efficiency

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APPENDIX D

CCAS Salary Appraisal Form

NAME:_____   Appraisal Period: From:_____

SSAN:_____   To:_____

Organization:_____   Series:_____   Broadband level:_____

PART I   Discuss evaluation with employee and obtain signature confirming discussion. Signature of employee does not constitute agreement with CCAS appraisal.

Overall Contribution Score: _____

_____   _____
    Pay Pool Manager   Date

_____   _____
    Supervisor Signature   Date

_____   _____
    Employee Signature   Date

EMPLOYEE SALARY CONTRIBUTION PAY COMPARISON CHART:

   Employee's Current Rate of Base Pay $_____

   General Pay Increase Received $_____   % _____

   Amount of Contribution Rating Increase $_____

   Employee's New Rate of Basic Pay $_____

   Contribution Award $_____

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PART II   Supervisor Assessment

| | Factor Weight: | Factor Score: | Weighted Score: |

Instruction: Provide narrative comments regarding employee's contribution against each factor during the current year and a score for each factor.

Problem Solving:

——— ——— ———

Teamwork/Cooperation:

——— ——— ———

Customer Relations:

——— ——— ———

Leadership/Supervision:

——— ——— ———

Communications:

——— ——— ———

——— ——— ———

Resource Management:

Counseling	Initial Counseling	Mid-Point Counseling
Date		
Employee's Initials		
Supervisor's Initials		

_____

Signature   Date

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PART III   Employee Self Assessment

Factor Weight:

Instruction: Provide narrative comments regarding your contribution against each contribution factor during the current year.

_____

Problem Solving:

Teamwork/Cooperation:

_____

Customer Relations:

_____

Leadership/Supervision:

_____

Communications:

_____

Resource Management:

_____

Counseling	Initial Counseling	Mid-Point Counseling
Date		
Employee's Initials		
Supervisor's Initials		

_____
Employee signature   Date

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The Contribution-based Compensation and Appraisal System (CCAS) uses sets of factor descriptors and key elements to annually assess the employee's level of contribution to the organization. Based on the assessment, the broadband level and salary are reviewed and appropriately adjusted. The CCAS Appraisal Form is a three-part form which documents the annual evaluation of an employee's contribution. Part I of this form is a summary CCAS assessment, Part II is the supervisor's assessment of each factor, and Part III is the employee's self-assessment with regard to each evaluation factor.

INSTRUCTIONS FOR COMPLETING CCAS SALARY APPRAISAL FORM

Part III

Starting about 1 September of each year, the supervisor provides each employee with a copy of Part III, Employee Self Assessment, and requests the employee complete a self-assessment which will be returned to the supervisor not later than 5 October.

The employee provides a bulletized description of his/her contribution against each of the evaluation factors. Additional pages of narrative may be added to the form by the employee as (s)he deems necessary. The employee signs and dates Part III and provides the original copy to the supervisor.

The supervisor will discuss this input directly with the employee between 5 and 30 October to clarify any potential discrepancy, disagreement, and/or misunderstanding.

Part II.

After receiving Part III from the employee, the supervisor completes a draft of Part II, Supervisor Assessment, for each employee. The draft assessment is completed not later than 30 October.

The draft assessment is the basis for discussions during the annual pay pool meeting which is held prior to 10 November. The Pay Pool Manager (PPM) receives recommendations for pay adjustments from the supervisors assigned to the pay pool. After internal discussions and agreement within the pay pool, results are submitted to the PPM for approval. Upon approval, supervisors formalize Part II, Supervisor Assessment, including completion of the factor scores and weighted values (factor score times corresponding factor weight). Completion of Part II will be accomplished not later than 15 November. The completed form becomes the basis for discussion with each employee on management's assessment of annual contribution.

Part I

Part I, Summary Evaluation, is completed by 30 November. Part I is a computer generated form that is produced for each employee and contains the overall contribution score and space for the signature of the PPM, the supervisor, and the employee. The overall contribution score shown in Part I is an average of the sum of the weighted scores for the factors as determined in Part II. The signatures of the PPM and the

supervisor will be completed before presentation of the form to the employee. After discussing the evaluation with the employee, the employee will be asked to sign the form indicating that copy of the evaluation was provided to him or her. If the employee refuses to sign the form, the form will be appropriately annotated by the supervisor.

Upon completion of the employee-supervisor discussion and signatures on Part I of the form, a copy of all parts of the form will be given to the employee and one copy will be retained in the Supervisor's Record of Employee. The original of Part I will be maintain in accordance with agency procedures.

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APPENDIX E

OPPORTUNITIES FOR INCREASED CONTRIBUTION
(FLOW CHART)

Are there Opportunities for greater contribution in current role?

YES — What inhibits greater contribution?

NO — Are opportunities for greater contribution available within org?

What inhibits greater contribution? → Motivation / Capability

Motivation → Is person satisfied with current role?
- **NO** → Develop Plan to increase contribution
- **YES** → Adjust Salary Expectations

Capability → (1) Can/Should Organization Provide Training?
- **NO** → Adjust Salary Expectations
- **YES** → Provide Training

Are opportunities for greater contribution available within org?

NO → Is person satisfied with current role?
- **NO** → Actively search for opportunities elsewhere
- **YES** → Adjust Salary Expectations

YES → Why are opportunities not sought/taken? → Motivation / Capability

Motivation → Is person satisfied with current role?
- **NO** → Provide Internal Opportunities
- **YES** → Adjust Salary Expectations

Capability → (1)

Note: This guide may be used by the supervisor to address ways in which an employee can increase his/her opportunities to contribute.

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APPENDIX F

RELATIVE SCORE EXAMPLE

Example: For the Business Management and Technical Management Professional Career Path within one Pay Pool, the following table can be constructed, ordered by Relative Score. The table lists the most "Inappropriately-Compensated Employee" below the SPL (negative values less than -4.0) to the most "Inappropriately-Compensated Employee" above the SPL (positive values greater than +4.0). Employee 15's salary is -23.87% below the SPL for an OCS of 80. Employee 8's salary is +59.83% above the SPL for an OCS of 35. Compensation can now be adjusted based upon their RS; the most inappropriately-compensated employee below the SPL should receive the greatest percentage rating increase and/or award. Although other employees may receive greater dollar increases and awards due to a higher base salary, the employee at the top of the list should receive the greatest percentage increase and/or percentage award. The goal is to bring all salaries within Normal Pay Range.

Employee	Base Salary	OCS	Compensation Region	Relative Score
15	$48,265	80	Inappropriately-Compensated	-23.87
11	$33,284	60	Inappropriately-Compensated	-21.92
5	$47,589	74	Inappropriately-Compensated	-15.44
3	$46,802	73	Inappropriately-Compensated	-15.17
23	$49,728	76	Inappropriately-Compensated	-15.08
12	$45,339	71	Inappropriately-Compensated	-14.22
1	$51,191	75	Inappropriately-Compensated	-10.83
20	$48,265	70	Inappropriately-Compensated	-7.16
16	$52,653	74	Inappropriately-Compensated	-6.48
21	$52,653	73	Inappropriately-Compensated	-4.57
6	$49,728	70	Inappropriately-Compensated	-4.34
9	$48,265	68	Appropriately Compensated	-3.40
10	$69.876	86	Appropriately Compensated	-2.15
14	$51,191	70	Appropriately Compensated	-1.47
18	$36,609	53	Appropriately Compensated	-1.33
2	$52,653	71	Appropriately Compensated	-0.71
25	$41,489	59	Appropriately Compensated	-0.72
13	$60,871	78	Appropriately Compensated	-0.10
17	$49,728	67	Appropriately Compensated	+1.52
22	$80,151	91	Appropriately Compensated	+1.93
4	$60,871	76	Appropriately Compensated	+3.94
19	$60,871	63	Inappropriately-Compensated	+34.54
7	$78,096	72	Inappropriately-Compensated	+44.38
24	$49,728	45	Inappropriately-Compensated	+57.09
8	$41,489	35	Inappropriately-Compensated	+59.83

FORMULAS:

Salary $_{upper\,rail}$ = (GS-1 Step 1) * (1.0800) * (1.020043)^{OCS}
Salary $_{lower\,rail}$ = (GS-1 Step 1) * (0.9200) * (1.020043)^{OCS}
SPL = Average of the Salary rails
RS = Relative Score = [(Current base) - (SPL) /(SPL)] * 100

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APPENDIX G

NATURE OF ACTION CODES (NOAC)

The nature of action codes (NOACs) and remarks in this Appendix are specific to this demonstration. However, other NOACs and remarks in the OPM Operating Manual, "Guide to Processing Personnel Actions," may also be used under this demonstration project, as appropriate.

TYPE OF ACTION	NOA CODE	NATURE OF ACTION	AUTHORITY	TENURE GROUP
Conversion Temp Limited	515	CONV APPT NTE	P.L. 104-106	0
Permanent Career Appointment	100	CAREER APPT	P.L. 104-106	1
Permanent Career Cond Appointment	101	CAREER-COND APPT	P.L. 104-106	2
Modified Term Appointment	108	TERM APPT NTE	P.L. 104-106	3
Conversion to Modified Term	508	CONV to Term NTE	P.L. 104-106	0
Extension of Modified Term Appointment	765	EXT OF TERM APPT NTE	P.L. 104-106	3
Conversion to Permanent Career	500	CONV TO CAREER APPT	P.L. 104-106	1
Conversion to Permanent Career Conditional	501	CONV TO CAREER-COND APPT	P.L. 104-106	2
Lump Sum Realignment Incentive (DoD-wide Agency Unique NOA)	934	LUMP SUM REALIGNMENT INCENTIVE	P.L. 104-106	N/A
Change to Lower Grade/Level Under CCAS	713	CTLG/Level	P.L. 104-106	1 or 2
Contribution-Based Compensation Appraisal System (CCAS) Pay Increase	894	PAY ADJ	P.L. 104-106	N/A
Contribution-Based Award	885	PERFORMANCE AWARD	P.L. 104-106	N/A
Reassignment	721	REASSIGNMENT	P.L. 104-106	1 or 2
Removal	330	REMOVAL	P.L. 104-106	1 or 2
Reduction-In-Force	356	SEPARATION-RIF	P.L. 104-106	1 or 2
Sabbatical	480	SABBATICAL NTE	P.L. 104-106	1 or 2
Volunteer Emeritus Service	Leave Blank	VOLUNTEER SERVICE - WITHOUT COMPENSATION	P.L. 104-106	N/A
Termination of Volunteer Emeritus Service	Leave Blank	TERMINATION OF VOLUNTEER SERVICE	P.L. 104-106	N/A

Proposed Remarks for the Remarks Section of the SF50

Pay Adjustment reflects initial buy-in to the Acquisition Demonstration Project which includes proportional increase based on time completed towards within grade waiting period

Change In Broadband Level To Next Lower Level Within Career Path. This Action Is Not An Adverse Action

Change In Broadband Level As A Result Of Adverse Action

Reflects A Voluntary Decrease In Total Salary Of $, Per Your Request Dated   .

Broadband Level Has Been Lowered Due To This Voluntary Reduction In Salary

Demonstration Salary Is Compatible To Gs-   Step   .

Lump Sum Realignment Incentive Under The Acquisition Workforce Personnel Demonstration Project

Appointment is based on Scholastic Achievement as defined in the Acquisition Demonstration Project

This action reflects a contribution award under the Acquisition Demonstration Project

APPENDIX H

COREDOC OPERATING PROCEDURES
(NOTE: COREDOC SYSTEM IS NOT USED IN MARCORSYSCOM)

Under the demonstration project's classification system, a new Position Requirements Document (PRD) replaces the current agency developed position description form. The flow diagram, below, depicts the COREDOC process, which may be used by managers to assist them in developing this new PRD. Following the schematic is an example of a completed PRD for the Business Management and Technical Management Professional career path, broadband level II, Management and Program Analyst occupational series 343.

COREDOC is available on the following Website: http://www.demo.wpafb.af.mil/

Position Requirements Document Process Flow Diagram
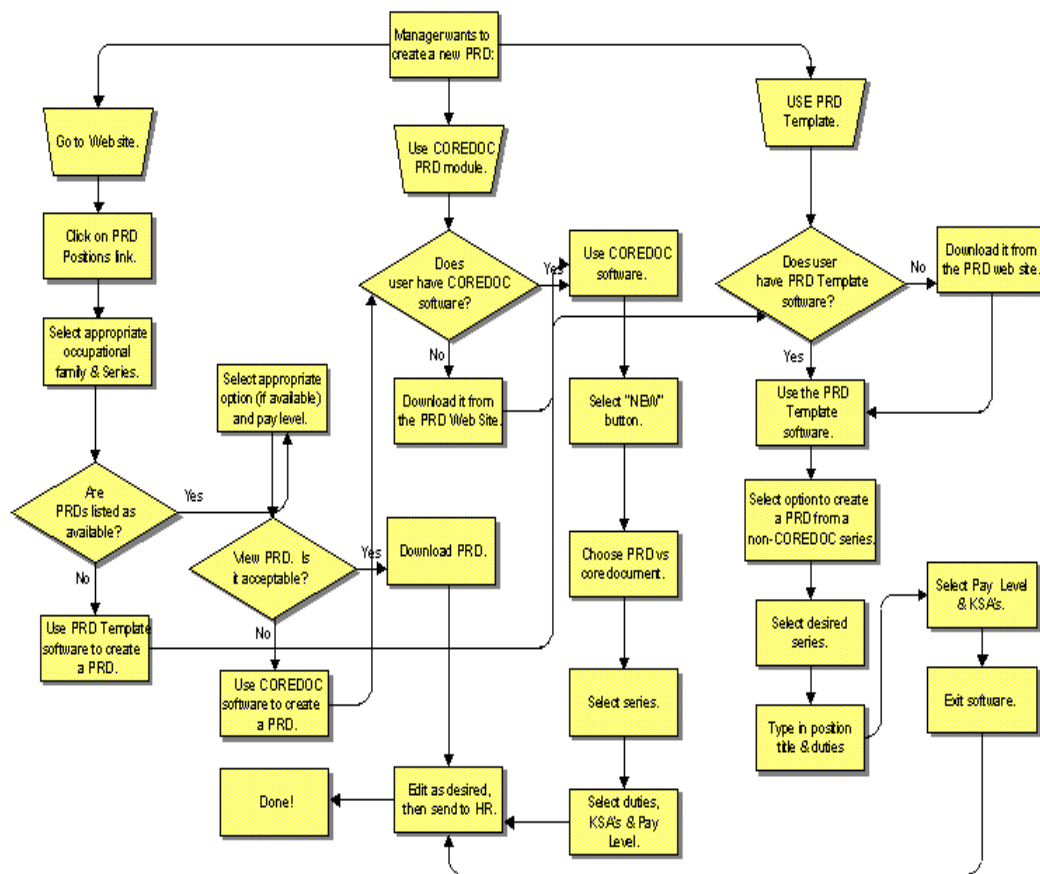
SAMPLE POSITION REQUIREMENTS DOCUMENT (PRD)

Acquisition Workforce Demonstration Project DOCUMENT NAME/#: PRGANAL1

I.   POSITION AND ORGANIZATION INFORMATION

Position:

 Management and Program Analyst, NH-0343-II

Purpose of position:

   The primary purpose of the position is to provide managers with objectively based information for making decisions on the administrative and programmatic aspects of agency operations and management, by accomplishing a wide variety of assignments concerned with effectiveness and efficiency of programs and operations.

Organization:

 Wigget Program Office

Organization mission/goals:

 Procure the best Wigget at the least cost.

II.   MAJOR DUTIES

A. Duty:

 Provides program support, assessment, and consultation services for interrelated readiness issues/programs ranging from identification of required contingency response missions and support plans, natural disaster, war damage repair, to effective management of limited resources. (10%)

   Selected Staffing KSAs: A4, A5, A6, A7, A8, A9, A10

B. Duty:

 Provides substantive management support services in the areas of program cost analysis, annual and multi-year fiscal planning, development of annual work-plan(s), and/or commercial activity for organizations whose operations are interrelated and fairly stable in nature. (20%)

   Selected Staffing KSAs: A4, A6, A7, A8, A9, A11, A12, A13

C. Duty:

 Performs substantive information management reviews and/or studies for several organizations at different echelons and geographic locations with interrelated functions, and monitor and advise on control and maintenance of documents, files, forms, records, etc., to promote organization efficiency. (16%)

   Selected Staffing KSAs: A4, A6, A7, A8, A9

D. Duty:

 Prepares detailed plans and performs work measurement, methods and procedures, benchmarking, and/or time engineered studies for substantive work processes and functions that are interrelated, to improve production efficiency. (22%)

Selected Staffing KSAs: A4, A6, A7, A8, A9

E. Duty:

Conducts management surveys and research projects and provides advisory services on substantive issues of moderate scope and impact to assess the effectiveness of program operations. (17%)

Selected Staffing KSAs: A4, A6, A7, A8, A9

F. Duty:

The employee studies the structure and/or functions of organizations with interrelated work processes or functions, to resolve substantive issues, of moderate scope, and propose new organizational structures, realignment of functions, solution to space/supplies/equipment issues, and/or staffing levels, to improve efficiency. (15%)

Selected Staffing KSAs: A4, A6, A7, A8, A9

G. Other Work Requirements

1. The employee must obtain and maintain the appropriate security clearance.
2. This position requires the employee to frequently travel away from the normal duty station.
3. The employee may be required to work overtime.
4. This is a Testing Designated Position. The employee is subject to random drug testing.
5. This position requires the employee to sign a mobility agreement under the provisions of the agency mobility program.
6. This position requires that the employee be certified in the use of a respirator.

III. KNOWLEDGES, SKILLS AND ABILITIES (KSAs)

A. Selected Staffing KSAs:

1. Ability to maintain good working relations
2. Ability to plan and execute complex, multi-faceted projects
3. Ability to recognize and analyze problems, conduct research, summarize results, and make appropriate recommendations
4. Ability to access or locate information through the use of a personal computer or terminal
5. Ability to meet and deal with customers using a high degree of tact and diplomacy
6. Ability to communicate orally and in writing
7. Ability to review, analyze, and manage Contingency Mobilization Planning, and/or War Reserves Programs
8. Ability to stratify resources against approved programs; to plan, present, and execute budgets; to analyze budget impacts on programs; and to forecast long-term funding requirements
9. Ability to execute projects and/or studies within established financial and time constraints
10. Knowledge of cost and economic analyses principles, techniques, and practices

B. Basic Training Competencies:

1. Ability to maintain good working relations
2. Ability to plan and execute complex, multi-faceted projects
3. Ability to recognize and analyze problems, conduct research, summarize results, and make appropriate recommendations
4. Ability to access or locate information through the use of a personal computer or terminal
5. Ability to meet and deal with customers using a high degree of tact and diplomacy
6. Ability to research, analyzes, interpret and apply rules, regulations, and procedures

7. Knowledge of the operations, products, services, needs, and goals of the program(s) and the organizations studied or served, and related customers, functions, resources, and users

8. Ability to develop and utilize appropriate data collection techniques
9. Ability to communicate orally and in writing
10. Ability to advise others
11. Knowledge of logistics management principles, concepts, policies, and regulations.
12. Ability to review, analyze, and manage Contingency, Mobilization Planning, and/or War Reserves Programs
13. Ability to stratify resources against approved programs; to plan, present, and execute budgets; to analyze budget impacts on programs; and to forecast long-term funding requirements
14. Ability to execute projects and/or studies within established financial and time constraints
15. Knowledge of DoD acquisition and life cycle management policies, procedures, and practices
16. Knowledge of cost and economic analyses principles, techniques, and practices
17. Ability to plan, conduct and record surveys and inspections

IV. FACTORS:

Factor: 1. - Problem Solving Level II.

Work is timely, efficient, and of acceptable quality. Completed work meets project/program objectives. Flexibiliby, adaptability,and decisiveness are exercised appropriately. Plans and conducts functional technical activities for projects/programs. Identifies, analyzes, and resolves complex/difficult problems. Independently identifies and resolves conventional problems which may require deviations from accepted policies or instructions. Adapts existing plans and techniques to accomplish complex projects/programs. Recommends improvements to the design or operation of systems, equipment, or processes.

Factor: 2. - Teamwork/Cooperation Level II.

Work is timely, efficient, and of acceptable quality. Personal and organizational interactions exhibit and foster cooperation and teamwork. Flexibility, adaptability, and decisiveness are exercised appropriately. Works with others to accomplish projects/programs. Uses varied approaches to resolve or collaborate on project/program issues. Facilitates cooperative interactions with others. Guides/supports others in executing team assignments. Proactively functions as an integral part of the team.

Factor: 3. - Customer Relations Level II.

Work is timely, efficient, and of acceptable quality. Personal and organizational interactions enhance customer relations and actively promote rapport with customers. Flexibility, adaptability, and decisiveness are exercised appropriately. Guides the technical/functional efforts of individuals or team members as they interact with customers. Initiates meetings and interactions with customers to understand customer needs/expectations.

Factor: 4. - Leadership/Supervision Level II.

Work is timely, efficient, and of acceptable quality. Leadership and/or supervision effectively promotes commitment to mission accomplishment. Flexibility, adaptability, and decisiveness are exercised appropriately. Actively contributes as a team member/leader; provides insight and recommends changes or solutions to problems. Proactively guides, coordinates, and consults with others to accomplish projects. Identifies and pursues individual/team development opportunities. Recruits, develops, motivates and retains quality team members in accordance with EEO/AA and Merit Prinicples.

Factor: 5. - Communication Level II.

Work is timely, efficient, and of acceptable quality. Communications are clear, concise, and at appropriate level. Flexibility, adaptability, and decisiveness are exercised appropriately. Communicates team or group tasking results, internally and externally, at peer levels. Writes, or is a major contributor to, management/technical reports or contractual documents. Presents informational briefings.

Factor: 6. - Resource Management Level II.

Work is timely, efficient, and of acceptable quality. Resources are utilized effectively to accomplish mission. Flexibility, adaptability, and decisiveness are exercised appropriately. Plans and utilizes appropriate resources to accomplish project goals. Optimizes resources to accomplish projects/programs within established schedules. Effectively accomplishes project/program goals within established resource guidelines.

V. CLASSIFICATION SUMMARY

In this position:

Duty A. 10% NH-0343-II Program Analyst
          Program Readiness and Contingency Planning

Duty B. 20% NH-0343-II Program Analyst
          Program Resource Analysis

Duty C. 16% NH-0343-II Management Analyst
          Records Management/Documents Control

Duty D. 22% NH-0343-II Management Analyst
          Workforce Measurement

Duty E. 17% NH-0343-II Program Analyst
          Program Effectiveness Surveys

Duty F. 15% NH-0343-II Management Analyst
          Organizational Efficiency Studies

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APPENDIX I

CCAS SOFTWARE

Software will be provided to support supervisors as they administer the Contribution-based Compensation and Appraisal System (CCAS). The software will operate over the WorldWide Web and is referred to as Contribution-based Compensation and Appraisal System Software for the Internet (CAS2NET). Users will access CAS2NET through a Netscape browser. Data for each pay pool will be stored in an Oracle database on a central server. Transmissions between client workstations and the server will be encrypted to protect the data.

CAS2NET will include the following modules:

- Data maintenance: Provides the capability to add and delete records from the data base, update data elements, change supervisory relationships, and upload appraisal and compensation results to the Defense Civilian Personnel Data System (DCPDS).

- Employee Appraisal: Allows supervisors to input preliminary ratings on the contribution of employees they supervise for each of the six factors in CCAS.

- Manager's Meeting: Supports a meeting of supervisors and their supervisor to determine final ratings for each factor for employees rated by the lower level of supervisors. Applies factor weights, if used, to compute the overall contribution score (OCS) for the employees.

- Appraisal Approval: Displays various statistics on the ratings received by the groups of employees whose ratings are being reviewed. Reviewers can accept the ratings as given or can send them back to the appropriate manager's meeting for rework.

- Compensation: Determines the position of each person in the pay pool relative to the Normal Pay Range (NPR) as a function of the person's OCS and current base pay. Identifies those who are inappropriately compensated above the NPR and supports the pay pool manager in determining how much of the General Pay Increase (GPI) to give to people in this region. Assigns the full GPI to the employees appropriately compensated and those who are inappropriately compensated below the NPR.. Computes the difference between each person's actual base pay and the standard pay line amount associated with the person's OCS. Assigns Contribution Rating Increases (CRI's) according to a default algorithm. Provides assistance in allocating contribution awards.

- Pay Pool Reports: Provides various statistics on pay increases and awards. Displays a scatter plot showing salary versus OCS against a background of the NPR.

- Data Quality Assurance: Compares CAS2NET data with DCPDS data and identifies discrepancies.

- Summary Reports: Provides statistics on results across pay pools.

The software will provide authorized users access to CAS2NET modules dependent upon rights assigned to the user. The software will allow a supervisor to view or modify records of only those employees who are under him or her in the pay pool hierarchy.

Several types of training will be available for users of the software. Training classes will be available for some user groups. Tutorials will provide instruction on each of the major modules and will be available to all users. On-line Help will be available from each screen. Local experts will be available to help users and a central Help Desk will support the local experts.

APPENDIX J

VOLUNTARY EMERITUS WORK AGREEMENT
(SAMPLE)

Work agreement between _____(Activity),

_____(Directorate),

_____(Project) and

 _____(Volunteer's Name).

STATEMENT OF UNDERSTANDING:

Voluntary assignment does not constitute an appointment in the civil service.

Volunteer service is to be uncompensated and gratuitous and unconditionally given. Volunteer will make no claim for compensation against the Government.

Volunteer waives any and all claims against the Government because of the voluntary assignment except for purposes of on-the-job injury compensation as provided in 5 U.S.C. 8101(1)(B).

Volunteer's federal retirement pay (whether military or civilian) will not be affected while serving in this voluntary capacity.

Volunteer will receive no retirement, severance pay, or leave credit as a result of being a designated Volunteer Emeritus.

Volunteer will not be permitted to monitor contracts on behalf of the government.

Volunteer will not be permitted to participate on any contracts or solicitations where a conflict of interest exists.

Volunteer service will end on _____ (defined by weeks or months)

Support provided by the activity will consist of: (List all space, equipment, administrative services, travel, etc. which will be provided to volunteer)

Level of Security Clearance is _____.

THE VOLUNTEER AGREES TO:

Be responsible for _____ (number) of site hours per _____ (period).

The volunteer's work schedule will be: _____;
be responsible to the site supervisor for the duration of the volunteer service; and comply with regulations governing the site.

The volunteer is obligated to protect trade secrets and other proprietary information from unauthorized disclosure and may be required to sign nondisclosure agreements as a condition of the voluntary assignment.

EITHER PARTY MAY VOID THIS AGREEMENT WITHIN 10 WORKING DAYS OF WRITTEN NOTICE.

_____   _____   _____   _____
(Volunteer)   (Date)   (Commander/Director)   (Date)

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APPENDIX K

TRAINING PLAN

Training Overview

The DoD Civilian Acquisition Workforce Personnel Demonstration Project is an initiative designed to further enhance the quality, professionalism, and management of the DoD civilian acquisition workforce through improvements in the efficiency and effectiveness of the Human Resources Management System. An essential and critical step in this demonstration is the training on the new system which must be provided to supervisors and managers, human resources personnel, labor personnel, and all other employees involved in the demonstration project.

In preparation for the development of this training, DoD contracted for a training technical implementation plan (TIP). The TIP is based on a previous front-end analysis conducted by the contractors subsequent verbal and written guidance from the Demonstration Project Process Action Team (PAT).

Terminal Learning Objectives

The following terminal learning objectives[1] are general statements of the desired training outcomes for each target audience. During the design phase, one or more enabling learning objectives will be created for each terminal learning objective. (Note: The sequence of TLOs does not imply that the training will necessarily be presented in this sequence.)

All *employees* should be able to:

TLO 1 - Explain the goals and objectives of the Demonstration Project and the potential benefits to the individual participant.

TLO 2 - List the resources and references available to learn more about the Demonstration Project.

TLO 3 - Describe the major elements of the Demonstration Project: broadbanding, simplified classification system, Contribution-based Compensation and Appraisal System (CCAS), hiring, Priority Placement Program modifications, critical skills training, workforce shaping, sabbaticals, voluntary emeritus program, and conversion from and back to the former system.

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[1] Learning objectives are normally stated in task (behavior)/condition/standards format. However, in that no testing is envisioned in the demonstration project training program, conditions and standards have been omitted.

TLO 4 - State how he or she (the individual employee) will be affected by the Demonstration Project, especially in regard to pay, promotion, performance appraisal, and other personnel actions.

TLO 5 - Explain his or her individual responsibilities in the Contribution-based Compensation and Appraisal System.

In addition to TLOs 1-4, *supervisors and managers* should be able to (labor personnel should be provided the same training as supervisors and managers)*:*

TLO 6 - Articulate the major elements and benefits of the Demonstration Project to subordinates.

TLO 7 - Develop plans and procedures to implement the Demonstration Project within their organizations.

TLO 8 - Describe managers' and employees' responsibilities in the Contribution-based Compensation and Appraisal System.

In addition to TLOs 1-2, *administrative support/human resources personnel* should be able to:

TLO 9 - Describe in detail and implement the major elements of the Demonstration Project: broadbanding, simplified classification system, Contribution-based Compensation and Appraisal System, hiring, Priority Placement Program modifications, critical skills training, workforce shaping, sabbaticals, voluntary emeritus program, conversion back to the former system.

TLO 10 - Develop personnel plans and procedures to implement the Demonstration Project within their organizations.

Selected Overall Approach

Initial Training

All

Internet tutorial
2 hours
OR
CD-ROM tutorial
Paper tutorial
Audiotape

+

Supervisors
Trainer-led Workshops
4 hours

Admin Spt/HR
Trainer-led Workshops
4 + 2 hours

Employees
Supervisor-led Sessions
1 hour

Contractor Trains-the-Trainers
(Contractor/Government trainers)

+

Supervisors
Refresher
training
by agencies
2 hours
[workbooks,
support
materials]

Enhanced
Support
Materials

Existing
Videotape

Workbook/Job Aid
Reference Materials
Brochures
View Graphs

3 Tailored
Videotapes

**Midterm
Process
Training**

Employees:

The principal method for training employees in the PAT-selected approach is through Internet-delivered tutorials. DoD, through a contractor, designed and developed a text-based tutorial[2]—supplemented by limited use of graphics. Content analysis indicates that a detailed and extensive tutorial can be developed which will require no more than two hours for the average employee to complete. The tutorial was then posted on a (government-provided) web site for easy access by the majority of participants in the Demonstration Project (http://www.dcpso.dla.mil/ademo). Those participants (relatively few in number, according to our survey) who have access to a computer with a CD-ROM drive but no Internet access will receive a copy of the same tutorial on CD-ROM for use in a stand-alone mode. For those employees with neither Internet access nor a computer with a CD-ROM drive, a stand-alone, self-paced workbook will be developed: in effect, a paper version of the Internet tutorial. In addition, an audiotape version of the training will be developed for visually handicapped employees.

Following the tutorial, all employees will participate in a one-hour supervisor-led session. The goal of this session is to provide supervisors/managers with the opportunity to address employee concerns and misunderstandings, thereby helping achieve affective objectives. As in the baseline approach, instructional materials will be provided in the supervisor-led session to support training, and at least one administrative support person should be available in the employee session.

The Internet-delivered tutorial will be posted on the web site; all training participants would have worked through the course prior to attending the training; and finally, supervisor-led sessions with employees will be conducted September 1 - October 31.

Supervisors/Managers:

All supervisors and managers involved in the demonstration project will be expected to work through the tutorial during the first six weeks of the training. Trainers from the DoD component will conduct these four-hour workshops (which will include labor representatives); the trainers will themselves have been trained and certified in Train the Trainer sessions. Supervisors and managers would begin conducting employee sessions as soon as they have finished their workshops.

Supervisors will be provided three specially created videos: an "acculturation" video to use in employee sessions which emphasizes the benefits of the Demonstration Project for employees; a video on counseling employees on the Contribution-

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[2] The tutorial will be Category 1 interactive courseware as defined in Department of Defense Handbook 1379-3, *Development of Interactive Multimedia Instruction* (draft), dated January 31, 1997.

based Compensation and Appraisal System; and a video on establishing, managing, and participating in a pay pool.

Administrative Support Staff/HR Personnel:

Administrative support personnel will be expected to work through the tutorial (Internet, CD-ROM, or paper). They will attend a four-hour workshop with supervisors and managers, to be followed (normally on the same day) with a focused two-hour workshop on personnel matters. Administrative support/HR personnel will also be expected to attend and participate in the one-hour employee sessions led by supervisors.

Tutorials

The guidance from the PAT requires the design and development of a basic tutorial on the Demonstration Project for use by all participating employees. The tutorial will be distributed in four formats:

- A real-time, Internet-based tutorial which will be available to all participants with Internet access to the web site. This will be the principal method of delivery of the tutorials; we anticipate that approximately 85% of employees will use the Internet tutorial.

- A CD-ROM version of the tutorial for those participants with access to multimedia computers but without Internet access.

- A paper version of the tutorial, for those participants who are unable to use either the Internet or CD-ROM versions.

- An audiotape (cassette) for visually handicapped employees. We believe that a set of two 60-minute cassettes will be required.

Videos

Three videos for use in the training program will be produced and provided all attending the train-the-trainer course. All three will be developed concurrently.

The *first* will be an acculturation video, targeted for viewing by all employees during the supervisor-led sessions. This video will focus on the benefits of the demonstration project to participating employees. Our concept calls for a combination of graphics, voice-over narration, and possibly animations, which lists and explains the benefits of the project along with videotaped testimonial descriptions of the benefits experienced by employees participating in the similar demonstration project currently under way within the Air Force Research Laboratories. We anticipate filming these testimonials on-site at one of the laboratories. This video will run 10-12 minutes.

A *second video*, for use by supervisors, will focus on performance determination, particularly how to deal with employees who are deemed over-compensated in the Contribution-Based Compensation and Appraisal System. This video will include counseling techniques for managers, insuring that the employee understands his or her status and the possible implications, remedial steps, and resources which may be available to assist both supervisors and employees. Professional actors, in office settings, will be used to illustrate the teaching points. This video will run 12-15 minutes.

The *third video* will provide information and examples to supervisors and pay pool managers in establishing and managing a pay pool. A combination of professional actors (in speaking roles) and Service or agency personnel (in non-speaking or minimal speaking roles) will be used to demonstrate the key teaching points. This video will run approximately 10-12 minutes.

Midterm Process Training

The Process Action Team has indicated a desire to provide some refresher training for supervisors during the first year of implementation. The government (participating Services and agencies) will provide this training. This training will focus on specific implementation requirements for the first Contribution-based Compensation and Appraisal System cycle.

DoD will provide updated and revised (as necessary) printed materials for the conduct of these training sessions, principally workbooks and vuegraphs.

APPENDIX L

EVALUATION PLAN

TABLE OF CONTENTS

I. OVERVIEW

Section 4308 of Public Law 104-106, The National Defense Authorization Act for Fiscal Year 1996, permits the Department of Defense (DoD), with the approval of the Office of Personnel Management (OPM) to conduct a personnel demonstration program with the Department's civilian acquisition workforce. DoD is proposing a demonstration project to cover approximately 8,000 to 18,000 civilian employees in the acquisition workforce and supporting personnel in 60-200 sites throughout DoD. Acquisition workforce employees are defined as those individuals serving in acquisition positions within the Department of Defense, as designated in section 1721 (a) of title 10, United States Code. Also included in the demonstration project are support personnel, defined as those assigned to work directly with the acquisition workforce in section 845 of P.L. 105-85. The composition of this workforce is shown in Table 1 below

Table 1 DoD Acquisition Workforce Participation N = 14766					
Career Path			**GS Levels**		
	# by Career Path	**% of Total**		**# by GS Grade**	**% of Total**
Business Management & Technical Management Professional	9585	64.91%	**GS-13 and Above**	5886	39.86%
Technical Management Support	1430	9.68%	**GS-12 and Below**	8880	60.14%
Adminstrative Support	3751	25.40%			
Total in Demonstration	14766	100.00%		14766	100.00%

This law includes the same evaluation requirement as 5 U.S.C. Chapter 47 demonstration projects. In response to that requirement, the Office of the Secretary for Defense for Acquisition and Technology has entered into an agreement with OPM's Personnel Resources and Development Center (PRDC) to conduct the external evaluation of the demonstration project and to prepare this evaluation plan.

The purpose of the DoD Acquisition Demonstration Project is to demonstrate that a flexible and responsive personnel system will enhance DoD's ability to attract, motivate and retain a high quality acquisition workforce. The following interventions will be tested: (1) simplified job classification; (2) broadbanding; (3) streamlined hiring processes; (4) modified application of the DoD Priority Placement Program (PPP); (5) a contribution-based compensation and appraisal system; (6) expanded training opportunities; (7) sabbaticals; (8) a voluntary emeritus program; and (9) revised reduction-in-force procedures

Purpose of the Evaluation
The purpose of the evaluation is to determine the effectiveness of the interventions and their contribution to mission accomplishment. Although the general concept of broadbanding has been tested in two Navy research laboratories, the National Institute of Standards and Technology (NIST), the Air Force PACER

Share demonstration project, and is currently being tested in the DoD Laboratory Demonstration Program, this project involves a workforce with a different mission and one that is constituted along functional rather than organizational lines. The Acquisition Demonstration will also test a different combination of human resources (HR) system changes than the other demonstration projects. Both the participants and the policy makers need to know whether these HR system changes will improve human resources management. Will the interventions help DoD to acquire and sustain a higher quality acquisition workforce? Will they simplify procedures without compromising fairness? Will these interventions result in higher, lower or the same costs as conventional Federal personnel systems? If the costs are greater, are these increased costs justified by the benefits? That is, is the new system cost-effective and does it enhance mission accomplishment?

Scope of the Evaluation
At this time, it is expected that acquisition workforce personnel throughout DoD will participate in this evaluation process, either under the demonstration or as a comparison group. Since this demonstration project is limited to a given functional workforce rather than an organization, an effort will be made to separate out intervening effects of the various organizational units and to capture both the combined effects and separate effects of each intervention. The external evaluator will also monitor other intervening effects, such as possible effects of a centrally designed demonstration project.

The Personnel Resources Development Center (PRDC) will conduct and coordinate the external evaluation of the demonstration project, which will meet the statutory requirements for an effectiveness evaluation (5 CFR 470.317(b) as well as the needs of Acquisition Workforce management. The Office of the Secretary of Defense for Acquisition and Technology, DoD's Office of Civilian Personnel Management and OPM's Office of Merit Systems Oversight and Effectiveness will coordinate the evaluation of operational compliance with merit system principles, in accordance with (5 CFR 470.317(a). Since this type of evaluation activity is not unique to demonstration projects and is routinely performed by HR evaluators internal to DoD as well as by OPM's Office of Merit Systems Oversight on a regular schedule, arrangements could be made for either joint or separate OPM/DoD on-site reviews of the various demonstration project sites. Data from the external evaluation and any service level Personnel Management Evaluation (PME) reports will be used to support this effort. Any results of on-site reviews will be incorporated in the evaluation reports in order to provide a complete picture of the demonstration program.

The Office of the Under Secretary for Defense (Acquisition & Technology) will identify demonstration employees and provide the necessary workforce data for those employees, while the evaluation team will coordinate and carry out all data collection activities.

Phases of the Evaluation
The evaluation will consist of both formative and summative stages. This plan represents the first step in the formative evaluation. It is in this planning stage that the (1) interventions are explicitly linked to expected outcomes, (2) appropriate quantitative and qualitative measures for these outcomes are selected, and (3) sources of necessary data are identified and included as part of the evaluation plan. The next step in the formative stage is evaluation of project implementation. Inadequate attention to implementation could result in what evaluators call Type III error, i.e., evaluating something that may not have happened and concluding that the program had no impact when, in fact, it was never implemented, or was not implemented as intended. Type III error is an extension of Type I and II experimental errors.

Formative evaluation will continue through the early years of the project. During this time, changes and mid-course corrections may be made as a result of evaluation findings. For example, if any aspect of the experimental personnel system does not perform as expected; if there are unexpected, undesirable results, or if the expected benefits are not being realized, changes may be made in the system.

Finally, when the experimental personnel system has stabilized, and enough data have been gathered to support definitive conclusions, a summative evaluation of the effectiveness and cost of the interventions is appropriate. This summative evaluation will provide answers to such questions as:

- did the interventions achieve the desired goals and improve mission accomplishment
- which experimental interventions contributed most to the results
- how did various components interact
- under what circumstances do the interventions work best
- what are the costs and benefits, and
- is the success, if any, likely to be transportable to other Federal installations?

II. EVALUATION MODEL

Evaluation Model

Context
BRAC
Downsizing
Multiple Organizations
HRM Organization
Cross-Service Integration
Info Systems Modernization
DFAS changes (Payroll, Travel)
GPRA
Labor-Management Partnerships
NPR/HRM Legislation
Job Market (Economy)
Defense Laboratory
Demonstration Program

Support of Implementation

Training
Data Collection System
Internal Requisitions

Intended Intermediate Outcomes
Improved HRM Systems
 (cost, quality, & timeliness)
Increased Management Authority
Improved Management of
 Acquisition Workforce
Increased Workforce Quality
Increased Customer Satisfaction with
 Personnel Service and Process

Intended Ultimate Outcomes
Better, More Cost-effective
Mission Accomplishment
Greater Customer Satisfaction

Figure 1: Evaluation Context Model

Unintended Outcomes

The need to evaluate both general and specific effects of this demonstration project poses significant challenges for the evaluator. Furthermore, the impact of changes in the personnel system cannot always be isolated from contextual variables, including the state of the economy and the results of other legislation affecting the acquisition workforce, such as mandated reductions in force, regionalization of Human Resources Management (HRM) functions, and new educational requirements for acquisition personnel. While our Intervention Impact Model (see Table 2) makes an attempt to predict specific effects, there also may be some unexpected or unanticipated results. Direct effects of specific interventions cannot always be isolated because many of the initiatives are expected to contribute to the

same outcomes. To the extent possible, specific effects of each intervention have been identified. Figure 1, above, shows an evaluation context model which identifies elements critical to an assessment of the effectiveness of the initiatives of this demonstration project. Elements may be added to this model as other events occur. This context model distinguishes between intermediate and ultimate outcomes and intended and unintended outcomes.

Intermediate and Ultimate Outcomes

Most of the effects of the HR interventions will be measured as intermediate outcomes and are shown in the Intervention Impact Model and focus on the direct results of the HR interventions. For example, broadbanding simplifies job classification and, combined with pay for contribution, permits more of a rank-in-person system. The pay-for-contribution system is expected to reinforce the pay-contribution link, an intermediate-level outcome. The stronger pay-contribution link is expected to improve employee contribution, and ultimately organizational effectiveness and mission accomplishment (ultimate outcomes).

In recent years researchers have proposed organizational effectiveness measures for R&D, service, and high performing organizations. Phillips (1996) discusses three levels of measurement in HR evaluation: perceived effectiveness, contribution, and return on investment; what key outcome they focus on; and which can be measured either by hard or soft data.

Lawler, Nadler and Mirvis (1983) have made some useful suggestions about how to measure effectiveness outcomes. For instance, rate, cost, quality of production, downtime, waste, and other similar qualities could be used as measures of productivity for goods-producing organizations. For service providers, such as the acquisition workforce, appropriate measures include cost, timeliness, and customer satisfaction.

Customer Satisfaction. Of these, quality of service will be the most difficult to define and measure directly, although customer satisfaction is an appropriate indirect measure. Measures of customer satisfaction with service, with customers defined as those organizations for whom the acquisition service is provided, may be the most effective ultimate measure of mission accomplishment, apart from cost control in acquisition in general. Karl Albrecht (1992) in his Total Quality Service approach, i.e., where an organization delivers superior value to its customers, stakeholders, owners and employees, states that organizational quality standards and measures should be customer focused. Beyond these measures, other aspects of effectiveness involve intermediate outcomes, such as resource allocation, internal coordination of functions, conflict resolution, innovation, flexibility, and responsiveness to change.

Quality of Work Life. Lawler et.al (1983) and Phillips (1996) also suggest the inclusion of quality of work life (QWL) factors, such as job security, adequate pay and benefits, safe working conditions, needs for positive social relations, self-expression, and personal development when evaluating personnel interventions. The demonstration project is intended to enhance mission accomplishment without reducing the quality of work life. Variables representing effectiveness and quality of work life can be complementary and may influence intended outcomes such as improved recruitment and retention. Lawler, et al (1983), cite the relationship between job satisfaction and turnover and absenteeism as an example. High satisfaction is often associated with lower rates of absenteeism and turnover and, consequently, with higher productivity and lower costs. However, high productivity may be accompanied by increased accident rates and job-related stress while low turnover may be indicative of greater job insecurity. Therefore, although these variables may be useful, the interrelationships must be considered.

Unintended Outcomes

Any HR system can also have unintended outcomes. For example, broadbanding and pay-for-contribution, if not administered fairly and judiciously, can increase employee perceptions of inequity in compensation, contribution management and increase costs, thus decreasing organizational effectiveness. Other potential unintended effects have not been identified but may occur, such as adverse impact on protected groups of employees. If serious deleterious unintended outcomes are identified, it may be necessary to modify the program.

Context

Context will be taken into account as much as possible when drawing conclusions about the systems being tested. Much of the context surrounding the DoD Acquisition Workforce Demonstration Project cannot be controlled, but some of it can be anticipated. For example, planned workforce reductions are a significant factor in the context of the implementation of the Acquisition Demonstration. The process of consolidation, realignment, downsizing, and closure of DoD bases has been underway for some time and can be expected to continue for the foreseeable future. Missions are being streamlined and many activities are being regionalized. These and other aspects of the dynamic organizational environment, such as the economy, will be monitored, documented, and considered in the evaluation. Any policy changes in the personnel management area will be monitored carefully for their potential impact and possible interactions.

Implementing Activities

Most Acquisition Demonstration Project interventions, such as broadbanding, will be uniform across all the personnel included, but these personnel are scattered across services, organizations, and installations within services. The various locations may vary in implementation, organizational culture and management style, as opposed to design. Variation in implementation may be grouped into three general categories: support, degree, and form of implementation.

Support includes the adequacy of implementation plans and centrally developed operating procedures and training. Information technology support, such as the Defense Finance and Accounting Service finance system, the COREDOC personnel classification system, the Defense Civilian Personnel Data System (DCPDS) workforce database, and the Contribution-based Compensation Appraisal System, etc., is critical to the project and some of the systems must be in place before implementation can occur. At the local level, support also includes the timeliness and adequacy of training, service and assistance provided by the HR offices servicing the demonstration project sites.

Degree of implementation can be defined as the extent to which the proposed changes are given a fair trial, the degree to which they are used, and the extent to which they conform to the concepts behind the changes (Hall & Loucks, 1977). It includes the care with which the organizations comply with the provisions in the Federal Register and related new regulations.

Form of implementation also refers to the type of implementation plans developed and how those plans and operating procedures are carried out. Violations of adherence to Merit Systems Principles and of Prohibited Personnel Practices can occur under increased flexibilities or when operating procedures are misinterpreted or improperly established. If on-site reviews consistent with 5 CFR 470.317(a) will have to be conducted, they will be done by DoD or as part of OPM's review schedule.

Conclusions about outcomes will be drawn only after full consideration of differences in implementation. Causal linkages between specific demonstration interventions and intermediate and ultimate outcomes will be difficult to establish because of the many uncontrollable variables that are likely to contribute to these outcomes. Causality can only be established if all other competing explanations can be ruled out. Evaluators must attempt to identify as many of these potential variables as possible by comparing demonstration results with those of a non demonstration control group and considering all relevant context variables.

Characteristics of the context, the implementing activities, and the intermediate outcomes all affect the intended ultimate outcome, in this case, a more effective acquisition workforce and improved mission accomplishment. This evaluation will focus first on intermediate-level outcomes, i.e., improved recruitment and retention of quality employees at reasonable cost. Second, the evaluation team will attempt to assess increases in Defense Acquisition Workforce effectiveness.

III. GENERAL RESEARCH QUESTIONS

Table 2, the Intervention Impact Model, lists the experimental interventions, their expected effects, suggested measures of those effects, and data sources. This model is considered dynamic and may be updated as needed, and will serve as a roadmap for the evaluators. Ultimate analysis and interpretation of results, however, will have to consider the other factors in the Evaluation Context Model in Figure 1, as well. A list of some of the more general research questions that will be addressed in the evaluation is given below. This list is not comprehensive.

Context

The context will be viewed as a set of intervening variables for most of the expected outcomes. A competitive labor market will make it more difficult to recruit, while a non-competitive labor market with rising unemployment will make it easier for DoD to hire quality acquisition employees. Alternatively, as all of DoD is subject to downsizing, and as employees who have been subject to a RIF are placed on priority placement lists, the acquisition workforce may have less flexibility in selecting new employees. The following questions will be addressed in the evaluation.

· Has the demonstration project been implemented in a competitive or non-competitive labor market, and what have the effects of this labor market been? Geographical differences will be considered.

· How have the various services and organizations (culture, support, procedures, etc.) affected the demonstration project?

· What is the impact of union representation on the demonstration project and its coverage?

· To what extent have budget constraints limited the implementation of the demonstration interventions?

· What effects have other requirements, such as the addition of spousal preference to the DoD Priority Placement Program, had on the Acquisition Workforce Personnel Demonstration Project?

· What uncontrollable events at the Federal, Service, or local level have had an important effect on the implementation and operation of the demonstration project?

Implementation

Support
· How well informed are managers and employees about the features of the demonstration project?

· To what extent has the demonstration project been funded (start-up and training costs)?

· Were information technology systems in place to support implementation?

Degree
· Have all the interventions been implemented as intended?

· What impact, if any, has staggered implementation had (e.g., perceptions of fairness or equity)?

· Have all anticipated employees been included?

Form 10
· Has implementation been a participatory process?

· Have operating procedures or their interpretation hindered/promoted implementation?

Intended Outcomes

The following are examples of questions about expected positive outcomes.

· Has managerial authority over HR functions been increased without adversely affecting perceptions of fairness?

· Has the HR system become more flexible and responsive to organizational needs?

· Has the quality of new hires improved?

· Do employees see a stronger link between pay and contribution, and has turnover been reduced among high performers and increased among low performers?

· How successful has management been in controlling salary costs under broadbanding, and what are the costs and benefits?

· Has customer satisfaction improved?

· Have organizational effectiveness and mission accomplishment improved?

Unintended Outcomes

The following are examples of questions about potential negative outcomes.

· Do the costs of the project outweigh the benefits?

·   Has increased managerial authority over HR resulted in employee perceptions of unfairness?

·   Has turnover of high performing employees increased?

·   Has any group been adversely affected by any of the interventions, including violations of merit systems principles and use of prohibited personnel practices?

IV. METHODOLOGY

Research Design

One of the major purposes of a demonstration project evaluation is to provide information that may persuade Congress to make permanent changes to the Federal personnel system. Therefore, conclusions drawn from this project have potentially far-reaching implications and must be based on a systematic, valid, and unbiased evaluation. The strongest design for a demonstration project, a quasi-experimental design, has been chosen. It has two key characteristics for comparison purposes: use of a comparison group and longitudinal analysis. This design makes it possible to draw conclusions about project outcomes because results can be compared with a nonparticipating comparison group, and changes over time can be compared for both groups.

Control group

The Acquisition Workforce Demonstration Project will be applied to a diverse group of employees throughout the Department of Defense. Some acquisition activities not participating in the demonstration project will serve as the comparison group. Baseline data (workforce data, employee attitude surveys, etc.) will be collected on all potential demonstration participants. To the extent possible, the comparison group should be as similar as possible to the demonstration population, e.g. location size, DoD Services, workforce composition (see recommendation by Campbell and Stanley, 1963). Baseline differences between the two groups will be reported and monitored longitudinally. The evaluation team will also monitor parallel demonstration projects conducted concurrently by DoD's Directorate of Defense Research and Engineering (DDR&E). All else being equal, these comparison activities would be expected to respond in much the same way to external, DoD-wide influences as the Defense Acquisition activities.

Longitudinal Analysis

The other key design characteristic is longitudinal data analysis. Ultimately, effects should show up as changes over time that would be significantly stronger in the demonstration project group than the comparison group.

Multi-method Approach to Data Collection

A variety of different data sources and methods will be used pre- and post-implementation. There are two advantages to using multiple methods. First, information gathered through one method can validate information gathered through another, and confidence in the findings will increase as they are substantiated by several different methods. Second, multiple methods provide more than one perspective on how the demonstration projects are working. Evaluation points of contact (POC) will be established for all services. Data specifications, POC expertise desired, and explanations of how and when to collect the data will be provided. Training for the internal evaluation contacts will be provided if necessary. The majority of data collection activities will occur on an annual basis. Additional data will be collected more or less frequently, as needed.

Data Sources

Objective and perceptual data will be gathered to measure both perceived and actual changes. Although the effectiveness of the demonstration project interventions is ultimately assessed through objective,

observable changes (e.g, increased retention, changes in turnover patterns), perceptions of employees, management, and customers are critical in evaluating overall project outcomes and goals. If the changes are not accepted they cannot be effective. Perceptions, which are intermediate-level outcomes, are important also because they predict behavior and ultimate outcomes (Phillips, 1996). For example, employee and customer satisfaction measures will be used to measure effectiveness. Additionally, objective data, such as workforce data, and Government Performance and Results Act (GPRA) outcome measures will be used where available and applicable. All data sources are specified in the Intervention Impact Model.(Table 2).

Workforce Data
Although OPM maintains the Central Personnel Data File, the evaluation team will attempt to collect demonstration and control group workforce data directly from the Department of Defense Central Personnel System (DCPDS), and any other available database or tracking systems in order to be able to correctly identify demonstration and control group participants at the level of sub-organizations. The workforce data are needed to track variables, such as salary cost, performance ratings, and turnover.

Personnel Office Data
This data will provide measures of HR efficiency and workforce quality. The former measures are classification timeliness, hiring timeliness, length of position descriptions, and offer acceptance ratios. Other measures of HR functions include number of formal grievances, unfair labor practices, adverse actions, and merit systems principle violations. Some of this data may be obtainable from command or headquarters office reports (personnel, EEO, PME, etc.), rather than from the sites. To the extent this information is not available on an annual basis, alternative methods will be explored, e.g., DoD and OPM partnering to do sample site visits.

Additional workforce quality information not found in automated systems such as DCPDS will also be requested. Measures appropriate to the acquisition occupations (certification, etc.) covered by the demonstration project will be developed.

Employee Attitude Survey
A baseline survey of all potential demonstration project participants and post implementation surveys will be conducted to assess the impact of project interventions on employee attitudes. An employee attitude survey was developed using items from past surveys of Federal employees, relevant items from other demonstration project evaluations, and other items designed specifically for this demonstration project. The baseline survey was administered in May 1998 to a population of about 70,000 individuals designated as potential demonstration employees. Since phased-in implementation will occur, the number of and time lines for post implementation surveys will be adjusted. A total of three surveys are scheduled to be administered during the evaluation phase of the project.

Human Resources Results Survey
Major changes have occurred in the HR function in recent years, both in the public and private sectors. Centralization and outsourcing of HR services is becoming increasingly popular in order to achieve savings. Researchers have become increasingly concerned with demonstrating the economic value added (EVA) of HR practices (Kaplan & Norton, 1996). In order to demonstrate the added value of HR, results measures have to be in place that can be used for strategic decisions.

A 20-item survey will be used to measure how results oriented the HR offices are that services the demonstration projects sites. The survey was developed by Phillips (1996) to measure how integrated the HR functions are to mission goals and what value they add to organizational outcomes. For example, HR officers are asked if they have strategic plan goals, whether these goals are linked to action objectives which are measured and evaluated against some standard. This survey instrument has been administered to hundreds of corporations in the United States and overseas and focuses on the strategic role and value of the HR function (Cascio, 1997; Phillips, 1996).

Structured Interviews and Focus Groups

These procedures will be used for in-depth examination of the implementation and effects of specific demonstration interventions. Structured interviews may be conducted with individuals and groups responsible for implementing particular aspects of the demonstration project or with those specifically affected by certain provisions.

Site Historian Logs

One or more individuals will be selected at demonstration installations to document any changes within the Defense acquisition workforce or in the environment as well as implementation activities. Individuals with in-depth knowledge and information about their activity are needed to collect data and provide interpretation (context/history) of events. Events documented by site historians may provide alternative explanations of effects observed at the sites.

Cost-Benefit Analysis

It will be difficult to determine whether the interventions in the Defense Acquisition Workforce Personnel Demonstration Project are cost-effective because the desired ultimate outcomes, improved effectiveness and mission accomplishment, are difficult to quantify since they are influenced by many uncontrollable factors. The cost of broadbanding will be compared to the cost of the traditional system of grades. Administrative savings from simplified classification, as well as increased workforce quality, lower turnover of high performers, and increased customer satisfaction will be measured on the benefit side.

Data Analysis Plan

The Defense Acquisition Workforce Personnel Demonstration Project contains many separate initiatives. Analysis plans for the major demonstration interventions will be based on the intervention impact model (see Table 2 below). The Acquisition Demonstration Project Process Action Team (PAT) and other stakeholders will also be consulted to ensure that all analyses of critical importance will be provided. Types of statistical analyses will include descriptive (means and percentages) and inferential statistics (Analysis of Variance, regression and correlation). Some data will be collected on an annual basis (workforce and grievances data), while others will be collected twice or more times across the five-year period (surveys). Data will be requested either on a calendar year or fiscal year cycle.

Reports

The first comprehensive report, which should be released about 18 months after implementation begins, will be an implementation evaluation. A decision report will be completed after four years of data have been collected to enable an informed decision by policy makers in DoD and OPM on the fate of the project (continuation, modification, termination or expansion). If a decision to terminate the project is made, a supplemental summative report will be completed no later than one year after termination. Interim briefing updates will be provided on the status of the evaluation results in the intervening years, on at least an annual basis. Data files will be shared with OPM's Office of Merit Systems Oversight and Effectiveness for their independent use.

TABLE 9 - INTERVENTION IMPACT EVALUATION MODEL

INTERVENTIONS	EXPECTED EFFECTS	MEASURES	DATA SOURCES
1. Simplified Accelerated Hiring	A. Improved ease of hiring process B. Improved recruitment C. Increased quality of new hires D. Reduced administrative workload/paperwork reduction	i. Perceived flexibility in authority to hire i. Offer/accept ratios ii. Percent declinations i. Experience, education, skills i. Actual/perceived time savings	a. Attitude survey a. Personnel office data a. Personnel office data a. Attitude survey a. Personnel office data b. Attitude survey
2. Expanded Candidate Selection Process	A. Flexibility in recruitment B. Increased quality of new hires	i. Perceived flexibility ii. Number/percentage of employees hired beyond high 3 i. Employee effectiveness ii. Experience, education, skills	a. Attitude survey a. Workforce data a. Attitude survey
3. Appointment Authority (Permanent, Modified Term, and Temporary Limited)	A. Increased capability to expand and contract workforce B. Reduced administrative workload	i. Number/percentage of contingent employees ii. Number/percentage of conversions from modified term to permanent appointments iii. Average length of employment (contingent hires) i. Actual/perceived time savings	a. Workforce data a. Workforce data b. Personnel office data a. Workforce data b. Personnel office data a. Attitude survey b. Personnel office data
4. Flexible Probationary Period	A. Expanded employee assessment period	i. Average conversion period to permanent status ii. Number/percentage of employees completing probationary period iii. Number of separations during probationary period	a. Workforce data b. Personnel office data a. Workforce data b. Personnel office data a. Workforce data
5. Contribution-based Compensation and Appraisal System I. Contribution-based pay progression	A. Increased pay-contribution link B. Improved contribution & performance feedback C. Increased retention of high contributors D. Increased turnover of low	i. Pay-contribution correlations ii. Perceived pay-contribution link iii. Perceived fairness of ratings iv. Satisfaction with ratings v. Employees trust in supervisors vi. Pay progression by contribution assessment i. Adequacy of contribution & performance feedback i. Turnover by contribution assessment i. Turnover by contribution	a. Attitude survey b. CCAS data a. Attitude survey a. Attitude survey a. Attitude survey a. Attitude survey a. Workforce data a. Attitude survey a. Workforce data a. Workforce data

	contributors	assessment	
II. Cash awards/bonuses	A. Reward contribution & performance	i. Amount & number of awards by career path, demographics performance	a. Attitude survey
		ii. Perceived fairness of awards	a. Attitude survey
6. Broadbanding	A. Increased organizational flexibility	i. Perceived flexibility	a. Attitude survey
	B. Reduced administrative workload/paperwork reduction	i. Actual/perceived time savings	a. Personnel office data b. Attitude survey
	C. Higher starting salaries	i. Starting salaries of banded vs. non-banded employees	a. Workforce data
	D. More gradual pay progression at entry level	i. Progression of new hires over time by band & career path	a. Workforce data
	E. Increased pay potential	i. Mean salaries by band, career path, demographics	a. Workforce data
	F. Higher average salary	i. Total payroll cost	a. Workforce data
	G. Increased satisfaction with advancement	i. Employees perception of advancement	a. Attitude survey
	H. Increased pay satisfaction	i. Pay satisfaction, internal/ external equity	a. Attitude survey
7. Simplified Classification System	A. Simplified/automated classification procedures	i. Perceived flexibility ii. Fewer position requirements documents	a. Attitude survey a. Workforce data b. Personnel office data
	B. Reduced administrative workload/paperwork reduction	i. Actual/perceived time savings	a. Personnel office data a. Personnel office data b. Attitude survey
8. Simplified modified RIF	A. Prevent loss of high-performing employees with needed skills	i. Separate employees by demographics, performance ii. Satisfaction with RIF process	a. Workforce data b. Attitude survey/focus groups a. Personnel office data
	B. Contain cost and disruption	i. Number of employees affected by RIF ii. Time to conduct RIF iii. Number of appeals/reinstatements	a. Personnel office data a. Personnel office data a. Personnel office data
9. Academic Degree and Certificate Training	A. Increased employee career progression	i. Demographics of affected employees ii. Employee/management satisfaction	a. Workforce data a. Attitude survey
	B. Increased capability/ flexibility for workforce shaping	i. Perceived flexibility	a. Attitude survey
10. Sabbaticals	A. Increased employee career progression	i. Demographics of affected employees ii. Employee/management satisfaction	a. Workforce data a. Attitude survey
	B. Increased capability/ flexibility for workforce shaping	i. Perceived flexibility	a. Attitude survey
11. Voluntary Emeritus Program	A. Encourage voluntary retirement and open up hiring slots for new staff	i. Frequency of use and cost	a. Workforce data

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APPENDIX M

GLOSSARY OF TERMS

APPROPRIATELY COMPENSATED REGION. The appropriately compensated region is the area on or between the upper and lower rails of the normal pay range. Under CCAS, an employee whose salary versus OCS plots within this region <u>must</u> receive the full general pay increase, <u>may</u> receive a contribution rating increase, and <u>may</u> receive a contribution award.

BROADBAND LEVEL. A broadband level is a pay range derived from the General Schedule pay rates.

CAREER PATH. One of three categories that an employee is placed in which corresponds to the employee's occupational series currently held.

COMPETITIVE AREA. A competitive area is the organizational unit(s) and geographical area(s) in which employees compete during a RIF.

CONTRIBUTION AWARD. A lump-sum payment based upon an individual's contribution to the mission of the organization. This award does not affect base salary.

CONTRIBUTION-BASED COMPENSATION AND APPRAISAL SYSTEM (CCAS). CCAS is a contribution-based assessment system that links salary adjustments to the individual's overall contribution to the organization's mission.

CONTRIBUTION IMPROVEMENT PLAN (CIP). The contribution improvement plan is a document issued by the rating official that outlines specific areas in which the employee is inadequately contributing. This document states how the employee's contribution is inadequate; what improvements are required; recommendations on how to achieve increased contribution; assistance that the agency will offer to the employee in improving inadequate contribution; and the consequence of failure to improve.

CONTRIBUTION RATING INCREASE (CRI). A contribution rating increase is a base salary increase based upon an individual's contribution to the mission of the organization.

DESCRIPTORS. Descriptors are narrative statements that describe contributions typical for the broadband levels at increasing levels of contribution, and are the basis for contribution assessment. Descriptors are not used individually to assess contributions but taken as a whole to derive a single evaluation for each factor.

DISCRIMINATORS. Various categories in which an employee's contribution is assessed. Discriminators for each factor are the same for all career paths and all broadband levels.

DISPLACEMENT. For purposes of this demonstration project, displacement means the movement via RIF procedures of a fully qualified employee into a position held by an employee of lower retention standing in the same or lower broadband level. The undue interruption standard of 5 CFR 351.403(a)(1) serves as the criterion to determine if an employee is fully qualified. In addition, to be fully qualified, the employee must meet DAWIA statutory

requirements for the position, if applicable. (However, statutory waivers shall continue to apply.)

EXPECTED RATING. The expected rating is a rating derived by use of the employee's last OCS to plot a scatter diagram (chart) assuming the employee's performance continued exactly as it was in the previous rating period, i.e., the dot on the plot moves in direct relation to the standard pay line. In instances where no previous rating exists, the expected rating is derived by plotting salary in relation to the SPL for that employee's career path and broadband level.

FACTORS. Factors are the basis for assessing contributions. The same six factors (problem solving, teamwork/cooperation, customer relations, leadership/supervision, communication, resource management) apply to all career paths.

FEEDBACK. Feedback is communication between the rating official and employee about the employee's contribution during the appraisal cycle. Feedback should focus on the employee's strengths and weaknesses in areas of contribution to the organization's mission, professional development, and career development activities.

GENERAL SCHEDULE PAY INCREASE. The General Schedule pay increase allows for a percentage increase to the General Schedule, as authorized by Congress and the President each year.

INADEQUATE CONTRIBUTION. An employee is considered to be inadequately contributing if his/her contribution in any factor is at or less than the midpoint of the next lower broadband level (or a factor score of zero for broadband level I employees). Additionally, when an employee's contribution plots in the area above the upper rail of the normal pay range, the employee is considered to be contributing inadequately.

INAPPROPRIATELY COMPENSATED ABOVE THE RAILS. This region is the area above the upper rail of the normal pay range. Under CCAS, an employee whose salary versus OCS plots within this region <u>could be denied</u> part or all of the general pay increase and will receive <u>no</u> contribution rating increase or contribution award.

INAPPROPRIATELY COMPENSATED BELOW THE RAILS. This region is the area below the lower rail of the normal pay range. Under CCAS, an employee whose salary versus OCS plots within this region <u>must</u> receive the general pay increase, <u>may</u> receive a contribution rating increase, and <u>may</u> receive a contribution award.

LOWER RAIL. The curved line that is below the standard pay line (SPL) by an 8 percent difference in salary from the SPL throughout the OCS range. It is used to define the lower bound of the NPR.

MASTER RETENTION LIST. List of competing employees in descending retention standing order as defined by their tenure, veterans' preference, and length of service as determined by their adjusted service computation date.

NORMAL PAY RANGE (NPR). The normal pay range is the region bounded by the upper and lower rails.

OCCUPATIONAL SERIES. One of the lines of work identified under the present, Governmentwide classification system. Under this demonstration, each occupational series is assigned to one of three career paths.

OVERALL CONTRIBUTION SCORE (OCS). The overall contribution score (OCS) is a numerical value which represents the employee's contribution to the mission of the organization. It is computed by averaging the scores of the six contribution factors.

PAY POOL. A group of employees among whom a certain amount of salary increase and award money is distributed. Each participant in the demonstration project is a member of only one pay pool.

PAY POOL PANEL. The pay pool panel, which includes the pay pool manager and rating officials (who normally report directly to the pay pool manager), conducts a final review of the OCSs and the recommended compensation adjustments for the pay pool members.

PAY POOL MANAGER. The manager of the pay pool who has annual pay adjustment authority.

POSITION REQUIREMENTS DOCUMENT (PRD). The position requirements document for each employee provides job-specific information, broadband level descriptors, and other information pertinent to the job, including staffing requirements and contribution expectations. This one- or two-page document replaces the current agency-developed position description form.

PROBATIONARY PERIOD. The probationary period is a period of time in which supervisors evaluate a newly hired demonstration project employee's contribution and conduct within the acquisition workplace environment to determine whether the employee should be retained.

RAILS (UPPER AND LOWER). The rails are lines +/-8.0 percent in salary from the standard pay line and define the normal pay range.

RATING OFFICIAL. The rating official is the individual who formally rates or appraises the employee for the annual rating of record. Normally, this will be the first-level supervisor. The terms "rating official" and "first-level supervisor" are frequently used interchangeably in this document.

RATING OF RECORD. The rating of record is the official rating that is entered into the employee's official personnel file (or data base).

RELATIVE SCORE (RS). The relative score is a measure of the relative distance of an employee's salary from the SPL. The relative score may be used to ensure equitable distribution of funds. Relative scores may be calculated as follows:

Relative score % = [(Current base salary calculated for employee's OCS minus SPL) divided by SPL salary calculated for employee's OCS] multiplied by 100.

RS = [(Current base salary) – (SPL)/SPL] * 100.

RETENTION STANDING. A competing employee's retention standing in RIF is based on tenure, veterans' preference, length of service, and contribution, as compared to other employees in the same broadband level.

SPECIAL CIRCUMSTANCES FOR PROVIDING A RATING OF RECORD. Certain employees cannot be evaluated readily by the normal CCAS appraisal process due to special circumstances that take the individual away from normal duties or duty station (e.g., long-term full-time training, active military duty, extended sick leave, leave without pay, etc.)

STANDARD PAY LINE (SPL). The standard pay line is a mathematical relationship between contribution and salary. The standard pay line tracks from the lowest pay, GS-1/1, to the highest pay, GS-15/10. It is increased annually in accordance with the General Schedule pay increase.

SUPERVISOR. The first-level supervisor is usually the individual who formally rates or appraises the employee for the annual contribution assessment (rating of record). The terms "rating official" and "first-level supervisor" are frequently used interchangeably in this document.

UPPER RAIL. The curved line that is above the SPL by an 8 percent difference in salary from the SPL throughout the OCS range. It is used to define the upper bound of the NPR.

WEIGHTS. Weights are values from 0.5 to 1.0 that may be used to define the relative importance of the factors.